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ABSTRACT

In recognition of the critical nature of the board's responsibility for evaluating the superintendent, this workshop manual attempts to assist school board members in identifying and defining policies and procedures for effective superintendent evaluation. The learning activities include: (1) lecture; (2) small- and large-group discussion; (3) brainstorming; (4) solitary writing, and (5) role-playing. Two main themes of the workshop are that effective superintendent evaluation should mesh with other board concerns and activities, and that superintendent evaluation clarifies board and superintendent roles. A subtheme of the workshop is how to manage board conflict. The contents of the manual are divided into six sections: (1) Introduction to the Workshop; (2) Planning the Workshop; (3) Presenting the Workshop; (4) Evaluating the Workshop; (5) Resources; and (6) Participant's Workbook. A videotape/film is available to accompany the manual, which is the 17th module in the "Keys to School Boardsmanship" series of developmental workshops designed by the National School Boards Association. (LAP)

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Superintendent Evaluation

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KEYS TO SCHOOL BOARDSMANSHIP

A Program
of Continuing Education
for School Board Members

National School Boards Association
1680 Duke Street
Alexandria, VA 22314

EA 023 657

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These materials have been produced by the National School Boards Association (NSBA) and the ERIC Clearinghouse on Educational Management as part of the Video Library Series funded through the NSBA/Federation Member Revenue Sharing Fund. This manual and film/video, which were developed to assist in boardsmanship education for local school board members, adds to the current *Keys to School Boardsmanship* series of developmental workshops, originally field tested and produced in cooperation with Federation Member state associations and the Northwest Regional Educational Laboratory.

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Dear Workshop Leader:

This manual and the accompanying film/videotape have been developed by the National School Boards Association to assist in boardsmanship education for local school board members. *Superintendent Evaluation* is the seventeenth module in the *Keys to School Boardsmanship* series of developmental workshops, originally produced in cooperation with NSBA Federation Member state associations and the Northwest Regional Educational Laboratory.

The format and substance of the *Superintendent Evaluation* manual, prepared by the ERIC Clearinghouse on Educational Management at the University of Oregon, is consistent with the *Keys to School Boardsmanship* series.

In recognition of the critical nature of the board's responsibility for evaluating the superintendent, this workshop attempts to assist school board members in identifying and defining policies and procedures for effective superintendent evaluation.

The *Keys to School Boardsmanship* materials are published and distributed by NSBA. In addition, NSBA has established a Leadership Training Center to assist NSBA Federation Members in developing workshop leaders, new materials, publications, and workshops for state associations and to promote cooperation among the states in sharing training materials and techniques for school board training and development.

Seventeen manuals in the series now available from NSBA include:

- *Building Bridges: School Board Political Roles*
- *Communicating with the Community*
- *Conflict Management*
- *The Educational Management Team*
- *Effective Meetings*
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- *School Improvement*
- *Self Assessment*
- *Superintendent Evaluation*
- *Teacher Evaluation and Incentives*
- *Teamwork*
- *What Do School Boards Do?*

Section 1
Introduction

Section Outline

Introduction to superintendent evaluation
The workshop leader's role
The manual's contents

Introduction to Superintendent Evaluation

This workshop for board members provides a thorough introduction to superintendent evaluation. It is designed to last for one day and features a variety of learning activities.

The workshop relates superintendent evaluation to a variety of other board concerns and activities. First of all, an effective superintendent evaluation plan should mesh with the district's strategic or long-range plan. The superintendent's goals—which are an essential part of effective superintendent evaluation—should not be at odds with the district's goals.

Superintendent evaluation also clarifies board and superintendent roles. It implies that board members have a right and a responsibility to oversee their superintendent's performance. But superintendent evaluation also provides a method of oversight that is not disruptive or intrusive.

A subtheme of the workshop is how to manage board conflict. Many boards are divided and even hamstrung by such conflicts. Superintendent evaluation provides a relatively safe and ongoing context for disagreements to be aired and resolved.

In recognition of this fact, the workshop includes role-play activities that, as a mirror to real life, force participants to constructively grapple with disagreements. The topic is controversial, and the characters have varied and often incompatible concerns. Consequently, participants will find it difficult to be faithful to those characters and to formulate goals and objectives for their superintendent that everyone will find acceptable. We believe that this feature of the workshop well prepares participants for their board duties.

The participants should also learn that effective superintendent

evaluation is no panacea for complex problems. Many difficulties, including the one used in this workshop's role play, simply cannot be solved in a day or a year. Such problems require both patience and careful planning. At times the best short-range accomplishment that a board and superintendent can hope for is to lay the groundwork for future success.

The Workshop Leader's Role

You will lead a variety of learning activities in this workshop: lecture, small- and large-group discussion, brainstorming, solitary writing, and role playing. The order and content of these activities are already set, but their success depends to a large degree on the energy and skill you bring to them.

You, the workshop leader, are responsible for mastering the material in this manual, presenting it effectively, and creating a stimulating and positive learning environment for the workshop participants.

The Workshop Schedule

Because participants' interests and needs will vary from workshop to workshop, no single schedule will work well for all workshops. It will be your responsibility to prepare a specific workshop schedule that accomplishes your particular goals, taking into account your participants' needs.

To guide you in constructing a schedule, we have estimated the time each activity is likely to take. You will find these time estimates in the schedule on page 7 and in the margin at the beginning of each activity. Altogether, we estimate the entire workshop will take six hours, not including lunch and breaks.

If you wish to shorten or lengthen the workshop, perhaps the most effective way would be to alter the time allowed for discussion and role play activities.

Contents of the Manual

Section 1. Introduction to the Workshop

Section 2. Planning the Workshop

Section 3. Presenting the Workshop

Section 4. Evaluating the Workshop

Section 5. Resources

Section 6. Participant's Workbook

Section 2
Planning

Section Outline

Mastering the manual
The presenting section of the manual
Physical preparation and arrangements
The small groups
How adults learn
Adjustments for particular audiences
Schedule

Mastering the Manual

This workshop offers a lot of material, and much of it is complex. It is essential, then, that you be well-prepared before the workshop begins.

The best preparation for presenting this workshop is to master this manual's contents. Read all sections thoroughly, particularly the *Presenting* section that guides you through the actual workshop. Know what will be presented in each section and the presentation's format. Anticipate problems and formulate solutions to them.

Also familiarize yourself with the *Participant's Workbook*. You will need to print and bind one copy of the workbook for each participant, and then hand out the copies at registration or the beginning of the workshop. One function of the workbook is to guide the participants through the workshop, and you should be able to refer them quickly to the appropriate pages.

The *Resources* section features an essay on superintendent evaluation that treats the topic in more detail than any other part of the manual. By assimilating the essay's content you will bring depth and understanding to your presentation of the workshop materials. An annotated bibliography, also in the *Resources* section, guides you to books and articles on superintendent evaluation for further study.

Also in the *Resources* section are some role-play materials that you will have to photocopy before the workshop begins and hand out to participants at the appropriate times.

The Presenting Section of the Manual

The *Presenting* section is the heart of the manual and guides you through the workshop. It identifies the topics you will cover, often in some detail. The section is designed to function as a lecture outline, however, not as a text to read from. Use it to guide you as you formulate your own remarks and presentation style.

In the *Presenting* section's margins is an estimate of how much time each section should normally take. It is not necessary to exactly follow this schedule. Some activities require more or less than the allotted time, or you simply may be reluctant to cut off a highly stimulating discussion or role play. It is unwise, however, to fall too far behind the workshop's schedule—unless the participants are willing to stay later than planned.

The *Presenting* section also draws your attention to materials in the *Participant's Workbook* that relate to many of the topics you will cover. For each activity, the page numbers of the corresponding materials in the workbook appear in boldface for ease of recognition. These materials include a self-test, space for writing ideas in solitary and small-group activities, guidelines for the various steps in the role play, and examples of relevant documents. You may not always wish the participants to refer to these materials, but many will be essential or very useful.

Physical Preparation and Arrangements

The room in which the worskhop will be held should be sufficiently large to accommodate tables for small groups of six members each. Arrange the tables so that the people sitting at them can see you with a minimum of chair shifting, and be sure to leave enough room between them so that you can move from table to table during small-group activities.

We suggest that you simply use newsprint or a blackboard for writing on, since it is large, easily visible, and simple. You may, however, choose to use an overhead projector. In any event, do not assume that all necessary equipment will magically appear when you need it. Bring your own chalk, paper and tape, or marking pens. Be certain that replacement bulbs are available if you use a projector.

It is wise to examine the room at least a day before presenting the workshop. This will give you time to decide how to set up the tables and will help you to become comfortable with the workshop's physical environment.

The Small Groups

Most of the workshop participants will not come alone, and they are likely to sit next to people they already know—particularly fellow board members.

Yet this arrangement is not ideal for small-group activities, particularly the role play. It is important for board members to undertake the role play with a clean slate rather than projecting personalities from their own board into the exercise. This is best accomplished with strangers rather than fellow board members. Furthermore, spreading a particular board's members throughout the workshop's small groups ensures that they will return home with a broad variety of experiences rather than interacting with just one another.

You will, therefore, need to explain that the workshop requires members of each board to disperse throughout the room. We recommend that you simply ask the workshop participants to count off by whatever number equals the number of small groups you will have (the total number of participants divided by six). If you have the names of the workshop's participants beforehand, you might decide to save a little time and confusion by assigning people to small groups beforehand. In any event, the participants should go to their assigned small groups very early in the workshop and remain at that table for its duration.

The early small-group activities are not particularly difficult, but the role plays are. Be prepared to explain them in some depth, and frequently solicit questions or concerns. Many parts of the *Participant's Workbook* outline the role plays, so be sure to alert the participants to them. Also circulate among the groups to direct their role playing, when necessary, and to answer their questions.

Use the post-role-play discussions to point out groups that did well, particularly at managing conflict.

Adjustments for Particular Audiences

Give some thought to the background of board members who will attend the workshop you lead. Will they be from rural, suburban, or urban areas? Are their districts large or small, wealthy or poor? What proportion of them are new board members?

Typically, superintendent evaluation procedures do not vary widely from district to district. Yet board members from small, rural districts, for example, may be put off if they detect that the entire workshop is intended for large, urban districts. Therefore, although much of the workshop's content is set, you are

free to present and provide examples for the materials in any way you see fit. Try to customize your presentation to the people who will be attending it.

How Adults Learn

As you prepare for the workshop, it is useful to consider some principles of how adults learn. The following suggestions are adapted from "Four Steps to Every In-Service Training," by Beth Beggs, a training consultant in Campbell, California.

Adults learn by doing.

Give them opportunities to interact with other participants.
Provide ample opportunities for small-group activities.

Adults don't like their time to be wasted.

Provide a clear schedule.
Choose topics and examples that the participants are likely to face in real life.

Adults need to succeed.

Move through the schedule in a clear, concise fashion.
Provide clear instructions.
Check for understanding frequently and make adjustments when necessary.
Call for volunteers rather than selecting them.
Establish any matters of protocol (such as when questions may not be appropriate) at the workshop's beginning.

Adults need to be comfortable.

Provide breaks every 75 minutes or so.
Offer refreshments.
Accommodate late arrivals and early departures graciously.

Schedule

Minutes	
40	**Introduction**
5	Housekeeping
10	Overview of Workshop
25	Icebreaker
45	**A: Superintendent Evaluation Policy**
10	Lecture
35	Quiz and Discussion
10	**BREAK**
25	**B: The Purpose of Superintendent Evaluation**
5	Brainstorming
10	Discussion
10	Lecture on the Performance-Appraisal System
45	**C: What Should Be Evaluated?**
10	Lecture
20	How to Write Evaluation Elements and Performance Criteria
15	Introduction to Role Play
90	**LUNCH**
70	**D: Developing the Evaluation Instrument**
15	Role Play Discussing an Evaluation Element
25	Role Play Writing an Evaluation Element
30	Role Play Discussing and Writing Performance Criteria
10	**BREAK**
15	**E: Midyear Review**
15	Lecture
50	**F: Pre-Appraisal Meeting**
50	Role Play the Pre-Appraisal Meeting
10	**BREAK**
40	**G: Superintendent Appraisal Meeting**
40	Role Play the Appraisal Meeting
30	**Summary**
10	Summarizing the Workshop
20	Evaluation

Total (not counting breaks and lunch): 6 hours

SECTION 3
PRESENTING

*Please Note: You should carefully study **all** sections of this manual (including the introduction, planning, and Participant's Workbook sections) before presenting the workshop.*

Section Outline

Superintendent Evaluation Policy
The Purpose of Evaluation
What Should Be Evaluated?
Developing the Evaluation Instrument
Midyear Review
Pre-Appraisal Activities, Filling out Instrument, Board Discussion
Superintendent Appraisal Meeting, Setting Evaluation Elements for Next Year
Summary

Total Time 40 min.

Introduction

Purpose: This unit will help participants to:

- Feel at home in the workshop's physical environment
- Know what they will do during the workshop
- Feel comfortable with each other and the workshop leader

5 min.

Activity 1: Housekeeping

- Introduce yourself and your qualifications.
- Identify smoking regulations, restrooms, public phones, and phone number for messages.

10 min.

Activity 2: Overview of What the Workshop Will Cover

- Introduce topic of superintendent evaluation
  - Stress the need for cooperation between board and super intendent.
  - The workshop presents the performance-appraisal system, which links superintendent evaluation to the district's long-range plan.
- Present the workshop's timetable.
- Briefly explain the role-playing activity.

25 min.

Activity 3: Icebreaker

- Divide the workshop participants into groups of six, being sure to separate those from the same district.
- Ask participants to introduce themselves to the entire group by stating their district, how many years they have served on its board, how many superintendent evaluations they have participated in, and what the major benefit has been.
- Ask the participants to write down, in their workbooks, their most pressing concern about superintendent evaluation in their district. **(Page 3** of *Participant's Workbook***)**
- Ask the participants to share their most pressing concern with others in their small group.

Unit A
Superintendent Evaluation Policy

Total Time 45 min.

Introduction

Purpose: This short unit will help participants to:

- Understand the board's role in superintendent evaluation.
- Understand why an evaluation policy is important

10 min.

Activities

Activity 1: Lecture on Evaluation Policies

- Show Video Episode 1: *Introduction to Superintendent Evaluation*
- An evaluation policy enables the board to chart a course for the evaluation process. The policy explains what the purpose of the evaluation is, how the evaluation will proceed, and what role the superintendent will play in it.
- The policy can help to ensure that all parties understand the evaluation process.
- The policy can settle disputes over how the evaluation is proceeding.
- Like the evaluation process itself, the policy should imply that boards are policymaking bodies rather than custodial or managerial bodies.
- Refer participants to the sample evaluation policy in the workbook **(page 4)** and briefly discuss it.

35 min.

Activity 2: Exercise on the Role of Boards

- Without further comment, ask the participants to turn to **page 6** of their workbook for the exercise, "Is It a School Board or Superintendent Responsibility?"
- After they have completed the exercise, ask them to grade themselves with the answer key provided on **page 7** of the workbook.
- Give examples of responses that indicate policymaking, custodial, or managerial tendencies.
- Discuss particular test items the participants have questions about.
- *Note:* Many of the participants may reflect a custodial or managerial philosophy toward board operation. If this is the case, be prepared to discuss the differences, relative strengths, and weaknesses of the three types of boards, explaining why policymaking boards are the most appropriate.

Conclusion

Explain that the performance-appraisal approach to superintendent evaluation assumes a policymaking board; that is, the board establishes the school district's direction and holds the superintendent responsible for achieving agreed-upon goals and objectives. Performance appraisal, then, ties the superintendent's evaluation to the district's major goals.

(BREAK)

Unit B
The Purpose of Evaluation

Total Time 25 min.

Introduction

Purpose: This unit will enable participants to:

- Understand the many benefits of superintendent evaluation
- Realize why the performance-appraisal system of superintendent evaluation best accomplishes these benefits

5 min.

Activities

Activity 1: Brainstorming the Topic

- Show Video Episode 2: *The Purpose of Evaluation.*
- Ask the participants to list as many benefits of superintendent evaluation as they can think of. **(Page 8** of *Participant's Workbook***)**
- List those advantages on the newsprint.

10 min.

Activity 2: Discussing Participant Responses

- Make sure that the final list includes:
  - May be a legal requirement (check state laws)
  - May be required by the superintendent's contract
  - Enables board to assert its "policymaking" role
  - Enhances communication between two parties (both have a better idea of what the other wants)
  - Ensures that such communication can occur in a planned and controlled setting rather than during a crisis
  - Provides regular, positive feedback to the superintendent
  - Points out weaknesses to the superintendent
  - Offers suggestions for how to improve
  - Helps the board decide if it should retain the superintendnt or how much that person should be paid
  - Provides documentation for defending future decisions regarding the superintendent that may be controversial
  - Ties superintendent's assessment and work closely to the district's highest priorities, often as articulated in its long-range plan

10 min.

Activity 3: Lecture on Performance-Appraisal System

- This workshop uses the performance-appraisal system of superintendent evaluation because its organizers believe strongly that superintendent evaluation should be tied to the district's long-range plan.
- Refer participants to the description of the performance-appraisal system in their workbooks. **(Page 9)**

  The performance-appraisal system:
  - Focuses on the district's and superintendent's most important goals for the year
  - Is most concerned with performance, with how successfully the superintendent meets those goals
  - *Can* include an evaluation of personal traits, relatively minor goals, and particular aspects of the superintendent's job that board members are concerned about
  - Emphasizes a written assessment (essay style) of how successfully the superintendent met the predetermined major goals (A sample written evaluation is included on **pages 10-12** of the *Participant's Workbook*.)
  - *Can* also include a mix of evaluation instruments, including forced choice, checklist, and rating scales as well as essay
  - Is individualized or tailored to the particular needs of each superintendent and district (When identifying those needs, it is helpful to look at lists of superintendent responsibilities [**pages 13-14** of the *Participant's Workbook*] and superintendent traits [**page 15**].)

Conclusion

This performance-appraisal system links evaluation and planning. Every district, then, will evaluate its superintendent by different criteria because every district has distinctive requirements and goals.

Unit C
What Should Be Evaluated?

Total Time 45 min.

Introduction

Purpose: This unit will:

- Explain how the board decides what aspects of its superintendent's performance to evaluate
- Explain how goals and performance criteria are determined
- Introduce participants to the role-playing activity

Activities

10 min.

Activity 1: Lecture on What to Evaluate

- Show Video Episode 3: *Selecting the Right Method.*
- The goals that a superintendent is evaluated on should mesh with the district's overall goals and objectives, mission or philosophy statement, long-range plan, and other documents. (See **page 16** of the *Participant's Workbook* for a checklist of documents relevant to superintendent evaluation.)
- The superintendent's goals derive particularly from the goals articulated in the district's long-range plan. (Sample goals are included on **page 17** of the *Participant's Workbook.*)
- The board should consult the superintendent's job description and its policy on board/superintendent responsibilities as it formulates the superintendent's goals to ensure that the superintendent is, indeed, responsible for accomplishing those goals. (An example of a superintendent's job description is included on **pages 18-19** of the *Participant's Workbook.*)
- All board members and the superintendent should brainstorm on the district's most pressing needs for the coming year. Other parties might also have input.
- The board and superintendent must then work together to agree on which goals are most important for the superintendent to pursue.

20 min.

Activity 2 : Lecture/Discussion on Writing Goals and Performance Criteria

- Explain definitions:

  Goals specify the desired changes in measurable terms.

  Performance criteria (objectives) are what put flesh and bones on goals and are the strategies or means for realizing the goals.

- Once the board members and superintendent have agreed upon the goals for the superintendent's evaluation, they should put them in written form.
- Ask participants to give sample goals from their own district.

  List the goals on the newsprint or blackboard.

  (An example of one district's goals is included on **page 20** of the *Participant's Workbook.*)
- Performance criteria are the means for measuring how successfully the superintendent accomplished agreed upon goals.

  Ideal performance criteria are precise—identifying who is to accomplish a particular task and when it will be accomplished—and are measurable. (Examples of one superintendent's performance criteria are included on **page 21** of the *Participant's Workbook.*)

  Since writing performance criteria is a somewhat technical and specialized skill, some boards ask their superintendent to write the criteria and then amend those criteria as they see fit.
- Ask participants to give sample performance criteria for some of the goals mentioned a few minutes ago.

15 min.

Activity 3: Lecture—Introducing the Role Play

- Introduction:
  - Explain that the role play will require participants to develop goals and performance criteria for a particular school district.
  - Explain that the role play will require participants to take on particular roles that may or may not appeal to them as they determine how to evaluate a superintendent.
  - Quickly outline the steps: determine goals and perfrmance criteria; conduct a midyear review; accomplish the pre-appraisal activities; conduct the final assessment.
- Draw participants' attention to the role-play materials on **pages 22-24** of their *Workbooks.*
- Describe the district (description included in workbook):
  - Large, stable suburban area.
  - 6,500 students (1 high school, 2 middle, 5 elementary).
  - Generally middle-class, but 15% in poverty, the great majority of which are minorities.
  - Growing racial diversity (65% White, 25% Black, 10% Hispanic).
- Describe the situation (description included in workbook):

- State-mandated new minimum graduation standards.
- Last year, the superintendent responded to standards by expanding courses in writing, science, and math, particularly remedial courses.
- Minorities, in particular, appear less likely to graduate.
- Many community members (some of whom are on the board) believe that the district must do more to help its students meet the new standards.

- There are several ground rules for this role play (ground rules are included on **page 22** of the *Participant's Workbook*):
  - Each person (aside from the board president) has particular characteristics and concerns that make conflict inevitable. Play out that conflict.
  - Strive for consensus and be willing to compromise: Strong-minded, opinionated people can work together (guidelines for conflict management and effective communication are included on **page 25** of the *Participant's Workbook*).
  - Do not alienate your superintendent, but do not simply follow that person's wishes, either.
- Hand out a set of the six character sketches (found on pages 29-30 of the *Resources* section of this manual) to each group. Distribute the sketches so that each participant sees only the description of the particular character that he or she will play. You might ask for volunteers for the superintendent and president roles, to ensure that eager participants fill those key positions. Participants should not divulge their roles except through the role play.

Conclusion

It is difficult to discuss the performance-appraisal system of superintendent evaluation in the abstract. This role play will make the process more understandable by providing a concrete problem in a concrete district. Evaluating the superintendent brings a lot of issues and concerns to the surface.

Lunch

90 min.

Unit D
Developing the Evaluation Instrument

Total Time 70 min.

Introduction

Purpose: This unit will help participants to:

- Formulate goals and performance criteria in their role plays

Activities

15 min.

Activity 1: Role Play the Initial Process of Defining the Goals

- Show Video Episode 4: *Developing the Evaluation Instrument.*
- Briefly review what a goal is.
- Briefly review the role play situation that calls for a goal: implementing the new state-mandated graduation requirements.
- Ask the participants to begin their role-playing discussion by articulating clearly and forcefully their characters' concerns about how the new graduation requirements should be implemented. Argument—if done respectfully—is acceptable at this time.

25 min.

Activity 2: Role Play the Process of Writing a Goal

- Instruct the boards to begin working toward compromise and consensus. Try to avoid giving up essential ground and taking essential ground away from someone else. No board member should be at odds with the superintendent's major goals. (Forms on which participants can write their goals are included on **page 26** of the *Participant's Workbook.*)
- Reconvene the large group and ask a representative from each role-play group to read that group's goal. Point out that no board may change its goal in light of what another has written.
- Discuss any concerns with the role-playing process.

30 min.

Activity 3: Role Play the Process of Writing Performance Criteria

- Briefly review what a performance criterion is. (Unit C, pages 15-16)
- Instruct the boards to formulate and prioritize up to six performance criteria for their goal. The superintendent should play a particularly major role in this process. As with the goal, the participants should at first argue for their ideas,

then seek viable compromises. (Forms on which participants can write their performance criteria are found on **page 27** of the *Participant's Workbook*.)

- Instruct the boards to finish this portion of the evaluation process by making sure that all key aspects are understood: the goal and performance criteria by which the superintendent will be evaluated and the steps in the evaluation.
- Reconvene the entire group and ask a representative from each role-play group to read that group's performance criteria.
- Discuss any concerns.

Unit E
Midyear Review

Total Time 15 min.

Introduction

Purpose: This unit will help participants to:

- Understand the nature and procedure of a midyear review. (Draw participants' attention to the outline of the midyear review on **page 28** of their *Workbooks* and to the form for writing the midyear review on **page 29**.)

15 min.

Activity

Activity 1: Lecture on Conducting Midyear Review:

- Show Video Episode 5: *The Midyear Review.*
- There may be more than one "midyear" review.
- The superintendent should report on how successfully he or she is meeting the performance criteria.
- The superintendent may recommend that some of the performance criteria be changed if they are not having the intended effect or if they are unreasonable.
- The board should provide a brief evaluation of how successfully the superintendent is meeting the pre-established performance criteria and offer suggestions for improvement.
- The board should decide whether to revise any of the performance criteria.

Unit F

Pre-Appraisal Activities, Filling out Instrument, Board Discussion

Total Time 50 min.

Introduction

Purpose: This unit will help participants to:

- Role play pre-appraisal activities

(Draw participants' attention to the outline of pre-appraisal activities on **page 30** of the *Participant's Workbook*.)

50 min.

Activities

Activity 1: Role Play Pre-Appraisal Activities

- Show Video Episode 6: *Preparing for the Evaluation Meeting*.
- Describe the pre-appraisal activities:
  - Superintendent prepares and delivers report.
  - Board asks superintendent questions about the report.
- Each superintendent role plays presenting a report—verbal and, if possible, written—of how well he or she has met the year's performance criteria. The superintendent should write the self-appraisal on the final appraisal sheet (included on **pages 31-32** of the *Participant's Workbook*).

  Note: The evaluation stage of the role play requires the boards to receive some outside feedback on how well their superintendent is meeting the performance criteria established in Unit D. That feedback is in the *Resources* section of this manual on pages 31-32. It should be photocopied and copies distributed to each superintendent.
- Board members question their superintendents.
- The superintendents leave their groups, and the boards discuss their final evaluation, which they will present at the following appraisal meeting. Again, this report will entail some compromises by individual board members.
- Board prepares its final evaluation of the superintendent, using the forms on **pages 31-32** of the *Participant's Workbook*.
  - Most performance-appraisal evaluations are largely narrative.
  - In the interests of simplicity, this entire evaluation will be narrative.
  - The final report should note both successes and failures, explain extenuating circumstances, include recommendations for how to improve, and be moderate in tone.

- Optional: The large group reconvenes, and the superintendents read their reports to it.
- Discuss any concerns.

(BREAK)

Unit G

Superintendent Appraisal Meeting, Setting Evaluation Elements for Next Year

Total Time 40 min.

Introduction

Purpose: This unit will help participants to:

- Conduct the final appraisal meeting in their role plays
- Set goals for the coming year in their role plays

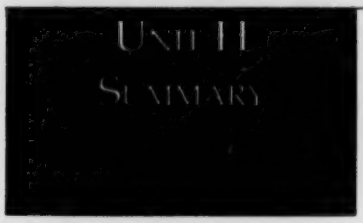
(Draw participants' attention to the outline of the appraisal meeting on **page 33** of the *Participant's Workbook*.)

40 min.

Activities

Activity 1: Role Play the Final Appraisal Meeting

- Show Video Episode 7: *The Evaluation Meeting*.
- Briefly overview the final appraisal meeting:
  - The board presents its evaluation to the superintendent.
  - That evaluation is conversational in tone and invites the superintendent's participation.
  - The evaluation is followed (often in the same meeting) by setting at least tentative goals for next year's superintendent evaluation. As always, this will entail both assertiveness and a willingness to compromise.
- Each board role plays presenting its evaluation of the superintendent to its superintendent.
- Each group establishes a goal for the next year for how to better prepare the district's students for meeting the state's new graduation requirements. Space for this activity is provided on the bottom of **page 33** of the *Participant's Workbook*.
- The entire group reconvenes and a member of each subgroup reads the final appraisal of the superintendent and its goals for the coming year to the entire group.
- Briefly discuss any concerns.



Total Time 30 min.

Introduction

Purpose: This unit will help participants to:

- Review the workshop's content
- Recall their initial concern with superintendent evaluation and to assess if the workshop has spoken to that concern
- Evaluate the workshop

10 min.

Activities

Activity 1: Summarizing the Workshop

- Briefly review:
  - The importance of superintendent evaluation policies
  - The purpose of superintendent evaluation
  - What should be evaluated
  - How the goals should be developed
  - Pre-appraisal activities
  - The final superintendent-evaluation meeting
- We intentionally assigned a very difficult role play topic. The issue was, given the board's makeup, apt to be very divisive. Nor was the problem an easy one to solve. There is no easy, clear-cut solution to helping disadvantaged students meet tougher graduation standards—certainly not in just one year. Yet these are precisely the sorts of issues that boards face. One benefit of the performance appraisal method of superintendent evaluation is that it brings these latent tensions to the fore in a regular, systematic way. Superintendent evaluation encourages the district's superintendent and board to discuss and, hopefully, resolve these tensions before they get out of hand. In this instance, the best a board can hope for is to reach a mutually satisfying agreement on a long-term solution to helping disadvantaged students meet the new graduation requirements.
- The very topic of superintendent evaluation is apt to bring disagreement between the board and the superintendent. Yet tensions between these two parties is inevitable. The performance-appraisal system of superintendent evaluation defuses this tension by dissecting it under controlled conditions, conditions conducive to cooperation and mutual understanding. The system clarifies superintendent and board roles. It also offers the board a nonintrusive way to guide and assess the superintendent's performance.

Section 4
Evaluating

Introduction

Total Time
20 min.

Activity 1: Evaluation

- Solicit a few statements on the preceding exercise.
- Thank the participants for their participation and ask them to fill out and turn in the evaluation form on the workshop (found on **page 34** of their workbook).

Section 5 Resources

Section Outline

- Role-Play Character Sketches (for use in Section 3, Unit C)
- Feedback on Performance Criteria (for use in Section 3, Unit F)
- Background Essay
- Annotated Bibliography

Unit C Role-Play Character Sketches

To the Workshop Leader

You should make as many photocopies of these sheets as you will need. Then cut along the dotted lines so that each description is separate. A full set should go to each board and superintendent (group of six). Each participant should only know his or her character.

These characters are based on a film that may or may not be used in your workshop. Their characteristics have been exaggerated to promote disagreement and conflict.

President: Larry — 3rd year as president

Age: 50 — White male, banker

Characteristics:

Larry is very skilled in administration and finance. He is a good organizer and manager. He is also very empathetic and sensitive; he likes to keep everyone happy and is so adept at compromise that some people doubt that he has any opinions of his own. He has not taken a discernible stand on how to implement the new graduation requirements.

Board Member: Barbara — 4th year on board

Age: 32 — Black woman, teaches economics at local college

Characteristics:

Barbara is concerned with minority students, women's issues, and other social issues. She strongly believes that the district has a responsiblity to help socially disadvantaged students succeed. She is worried that the superintendent will not implement the new minimum graduation requirements in a way that is sensitive to those students' situations.

Board Member: Sidney — 3rd year on board

Age: 41 — White male, developer

Characteristics:

Sidney is the board's most conservative and traditional member, in the broadest sense of those terms. He thinks the district's staff should be more accountable to the community and that the curriculum has become too "soft" and liberal. He would like the board to have more direct control over the schools, including what is taught in the classroom. He is enthusiastic about the state's new minimum standards because he thinks they will force students to work harder and get a better basic education. He tends to be suspicious of any sort of special accommodations for disadvantaged students and thinks that racial discrimination is pretty much a thing of the past.

Board Member: Raoul — 1st term

Age: 46 — Hispanic male, businessman

Characteristics:

Raoul was a member of a citizen's committee on curriculum before he joined the school board, and he frequently asserts that the community should have more control over its schools. He believes that the voters gave him a mandate to press this concern. He is somewhat suspicious of the superintendent's emphasis on professional expertise in school administration, and he is concerned about how the new graduation requirements will affect the district's disadvantaged students, particularly its minorities.

Board Member: Millie — 1st term

Age: 56 — White female, businesswoman

Characteristics:

Millie is from a wealthy family with deep roots in the town's aristocracy. Although very interested in racial equality and social concerns, she tends to jump to her own conclusions rather than listening to what people of color or people in poverty want from the district's schools. Millie is very well educated and is good friends with some of the district's most skilled and experienced teachers. Like them, she would like to see the district's staff and curriculum improved—particularly in the humanities and social sciences. She sees the new graduation requirements as a generally positive step in that direction, although she believes they are too narrow.

Superintendent: Gerald — 2nd year, 2nd superintendency

Age: 45 — White male

Characteristics:

Gerald is a highly motivated and ambitious superintendent who has already improved the district's staff and finances. Although not unfriendly to minority concerns, he is not particularly sensitive to them. He believes that virtually any problem the district faces can be solved by skilled, professionally trained administrators. Indeed, Gerald privately believes that school boards are something of a necessary evil. Nevertheless, he works hard to communicate effectively and honestly with his board and to show them respect. Gerald is generally pleased with the new graduation requirements and how he has integrated them into the

Performance Criteria (general)		Outcomes
Superintendent's original plan (added remedial classes).		Modest gains in skills for at-risk students, but they are unable to take as many marketable (vocational) classes.
Use tutors:	peer	Modest gains; can't get enough tutors, however.
	volunteer	Modest gains, but can't get nearly enough volunteers.
	paid	Budget not large enough.
Hire more minority teachers.		Able to hire one or two, if have effective plan. Brings modest gains.
Shift and upgrade elementary and middle school curriculum.		Unable to implement in one year, but shows much promise.
More student/teacher/parent conferences.		Modest impact—unable to do on large scale due to time.
Make classes easier to pass.		Students get better grades, but violates spirit of law.
Smaller classes.		Budget not large enough.
Fire incompetent teachers.		Able to identify them in one year, but not fire them. Shows promise.
Hire outstanding new teachers.		Able to find one or two if have strong, workable plan. Shows promise.

Performance Criteria (general)	Outcomes
See if curriculum discriminates against minorities (such as lack of minority literature in writing classes).	Able to complete study in one year, but not implement it. Shows promise.
Add summer classes.	Budget not large enough.

Conclusion: None of the affordable measures the board/superintendent takes can, in just one year, substantially improve the ratio of at-risk students who can meet the new graduation standards.

RESOURCES
BACKGROUND
ESSAY

Superintendent Evaluation: Policy and Procedures

Adopt a Policy on Superintendent Evaluation

A school board cannot set about evaluating a superintendent until it decides why it wants to evaluate, what it is going to evaluate, and how it intends to go about evaluating. Effective evaluation must be preceded by an effective evaluation policy.

The policy should address the purpose of evaluation. Is the board primarily interested in pointing out achievements and problems? Such evaluations are typically intended to improve a superintendent's performance and professional development, often by suggesting solutions to personal or institutional weaknesses. They may also, of course, provide the justification for salary and contract decisions.

Evaluation policies are linked to other processes and documents. Indeed, districts without a long-range plan, clear job descriptions for administrators, and a written policy detailing the division of duties between their board and superintendent will find themselves developing these tools as they set about evaluating their superintendent. Evaluation enhances communication and clarifies the roles of the board and its superintendent. It serves to move a district toward carefully constructed and agreed-upon goals.

The policy on superintendent evaluation must also describe how the board will go about its evaluation. How will it decide what performance objectives to establish for its superintendent, and how will it assess the superintendent's success in meeting them? What role, if any, should the superintendent's personal traits play in the evaluation? What sort of evaluation instrument or form should the board utilize? When should various components of the evaluation occur?

The board must also specify the superintendent's place in the evaluation process. It must decide how large a role that person should play in establishing and measuring evaluation goals. It should decide what context the actual evaluation will occur in and how the superintendent may respond to it, both verbally and in writing.

The organizers of this workshop have certain assumptions regarding superintendents' and board members' roles. We believe that school boards represent the public interest and are therefore charged with making policies that superintendents are responsible for implementing. Many boards discover in the

process of evaluating their superintendent that they have either assumed too much or too little responsibility. The former condition results in administrative boards that oversee daily operations; the latter spawns custodial boards that hand over their policymaking powers to the superintendent. The very act of evaluation implies that board members have an agenda of their own and the responsibility to assess how the superintendent implements it.

Effective superintendent evaluation policies express several other assumptions. They assert that evaluation is a serious matter. It should occur annually and be conducted by board members who are trained to implement it. Its purpose and format should be fully understood by all participants, as should each year's evaluation criteria. There should be no painful surprises.

The evaluation itself should address the superintendent's strengths and needs for improvement. It should be a single written assessment from the board as a whole, not a series of informal or verbal evaluations presented by solitary board members. A good policy stipulates these conditions rather than assuming them.

A superintendent evaluation policy is not something that can be written without a lot of thought. Board members must learn about the evaluation process and then apply it to their district's particular characteristics and requirements. Remember, however, that the policy must be written and understood before the evaluation process actually begins. This is certainly not wasted time; discussing what a policy should include entails surveying the entire evaluation procedure. A sound policy is both a necessary and a constructive tool.

Purpose of Evaluation

Formal superintendent evaluation is a time-consuming, difficult, and potentially divisive process. Yet its advantages are compelling.

The most effective school districts recognize that evaluation is part of assessment and planning. After all, the very act of evaluating requires deciding what should be evaluated. Should superintendents be assessed largely on their ability to retain excellent teachers, write interesting board reports, or pass school levies? What is the board most concerned about? What, exactly, does it expect the superintendent to accomplish? Does the superintendent feel that the board's expectations are reasonable? The evaluation process largely consists, as we shall see, in

answering such questions. It clarifies and prioritizes the district's goals.

The performance-appraisal system of assessment is ideally suited for linking superintendent evaluation to long-range planning. Performance appraisal enables boards to select the district's most important goals for a particular year as the main elements for superintendent evaluation. It is closely related to management-by-objectives evaluation, but it is more selective. As its name implies, it is more concerned with performance than personal attributes. Its flexible, individualized format features written evaluation, although checklist or rating forms may be added to assess selected responsibilities or traits.

This sort of evaluation enhances communication. The superintendent learns what board members want and expect. Board members learn more about what the superintendent actually does and can monitor the superintendent's performance in a nonintrusive way. Evaluation entails listening to the other parties' point of view. To be sure, that activity can provoke long and heated disagreements. Board members may be at odds over the district's priorities and how to pursue them. The superintendent may resist the whole idea of formal evaluation. But it is far better to struggle with those disagreements in a controlled format than to wait for a crisis to bring them to the fore. And superintendents who resist structured evaluation and oversight may well be overwhelmed by such crises and driven from their jobs. Assessment is more likely to be empathetic, constructive, and fair when it is part of a regular and anticipated evaluation process.

That process gives board members an opportunity to assume their role as the superintendent's employer. Public schools are public institutions supported by public monies, and boards are responsible for representing the public's interests to the district's employees. Evaluation provides a tool for establishing the public's needs and then monitoring, in a nonintrusive way, how effectively the superintendent meets them.

Superintendents are the most obvious beneficiaries of superintendent evaluation. The annual document is their report card. It points out accomplishments and strengths as well as problems and shortcomings. A good evaluation, furthermore, does more than identify problems. It includes ideas for improvement, sometimes by committing funds so the superintendent can acquire relevant training. It gives the superintendent a detailed answer to the question every hard-working employee has: how am I doing and how can I do better?

Even school boards that are not convinced of the benefits of

superintendent evaluation may have to do it. Some states require superintendent evaluation, as do many contract agreements between superintendents and boards. All school boards should carefully examine the laws and contract agreements that bear on whether superintendent evaluation is required and how it is to be conducted.

Superintendent evaluation may be a routine part of contract renewal. It may form the basis for deciding whether to rehire or how much to pay the superintendent. If so, then the evaluation and contract timetables should mesh. A district should not be in the awkward position of deciding if its superintendent deserves a raise when it is only halfway through the evaluation process.

Some boards elect not to spell out the details of superintendent evaluation in their superintendent's contract. One advantage of this policy is that it gives boards the freedom to change their evaluation system as they gain more experience and knowledge. Yet it may be to the board's advantage to use the superintendent's contract to specify that it will conduct a formal, annual evaluation. The advantages are two-fold: first, it conveys to all interested parties the importance of superintendent evaluation; and second, it helps ensure that the board will, indeed, do its duty by evaluating its superintendent.

Superintendent evaluation, at the very least, is an invaluable insurance policy. It may provide insurance against stiff penalties if state law mandates superintendent evaluation. If done correctly, it certainly provides a board with documented justification for terminating the superintendent. A judicious, full appraisal of the superintendent's job performance can deter or defuse expensive lawsuits and angry constituents.

But superintendent evaluation offers more than insurance. It enhances district planning, communication between board members and the superintendent, and the monitoring and adjusting of agreed upon goals. It tells the superintendent what to work on and how to improve. The evaluation process and its results clarify goals and performance, for both the present and the future.

What Should Be Evaluated?

A superintendent-evaluation system will work only if it is constructed carefully and cooperatively. It should be integrated with a district's long-range plan and job descriptions.

The board should consider a broad range of issues as it formulates its evaluation system. What are the district's goals? What would it most like to accomplish in the next year? In the next

five years? What special challenges is the district facing? Are there critical educational issues that are not being addressed? In what areas is the district weakest?

School boards that have abdicated their supervisory and policy-making functions will need to reclaim them at this point. Superintendents, to be sure, should play a large role in defining their jobs. But boards can be fair and sensitive without surrendering their power and authority.

A variety of tools and populations can be used in formulating the superintendent evaluation system. Administrators, teachers, students, parents, and community members may not see the big picture, but their particular concerns should not be disregarded. The board may wish to consult various checklists that detail other superintendents' duties or other districts' administrative tasks. Checklists must be used judiciously, however. They are tools for identifying important tasks, not complete or faithful blueprints for what a particular superintendent should accomplish. They certainly should not be used as the primary evaluation tool!

Nor should a board assume that its superintendent bears the chief responsibility for all the district's administrative functions. Many tasks are the duty of other employees or the board.

This process of considering various concerns, job responsibilities, and tasks will eventually boil itself down into a manageable and unique set of concerns, goals, and objectives for the superintendent to pursue over the coming year. Every district, after all, can identify hundreds of praiseworthy administrative goals, but the superintendent can pursue only a relative handful during any given year. Nor should the district necessarily expect ambitious goals to be accomplished in one year. The board must eventually decide how much progress can reasonably be expected for each goal and how to establish objectives to guide and later assess the superintendent's implementation of the goals.

Some goals cannot be attempted until others are accomplished. It makes little sense for the district to commit itself to building a new elementary school, for example, if funds for the school have not yet been procured. Indeed, the size of the district's budget and staff should play a very large role in identifying and ordering goals. Planning to add a bilingual program is an empty exercise if the district lacks the funds to hire competent staff for it.

Once the board and superintendent have identified their goals, they should formulate objectives or performance criteria for accomplishing them. These criteria will be the superintendent's tools, the means for realizing the district's goals. Ideal performance criteria are very precise and measurable.

All aspects of the evaluation process should be discussed thoroughly by the board and superintendent. This need not be an adversarial discussion, and a system that is imposed on an unwilling superintendent has already largely defeated its purpose.

If the district has long-range plans and a superintendent's job description, those documents should be scrutinized closely to make sure they agree with the superintendent's goals. Districts that do not have plans or job descriptions for their administrators should set about writing them at this stage.

Developing the Evaluation Instrument

The final evaluation agreement or instrument should leave little to the imagination. It should specify what jobs need to be done, who is going to do them, and when they should be completed. Moreover, goals should be ranked, not simply listed. The superintendent needs to know which ones have the highest priority.

This workshop's organizers recommend that board members and superintendents begin this process as individuals rather than corporately. Such independent work will, more often than not, create considerable diversity of opinion. All members must be able to make a strong case for their choices and listen carefully to other people's. Consensus or, failing that, voting will determine which goals will be pursued over the next year.

Some districts group the superintendent's goals into different categories (Booth and Glaub, *Planned Appraisal of the Superintendent*). **Minimal** goals consist of such routine tasks as preparing board reports, and they need not be included in the superintendent's evaluation unless the superintendent has a history of not accomplishing them adequately. The second category of goals, **reasonable** goals, are more ambitious. They could include improving relations with parents or instituting inservice training for teachers, for example. Reasonable goals are typically included in the superintendent's annual evaluation. The third and final category consists of **special** goals. These cover very ambitious multiyear tasks, such as major building projects or major staff changes. Special goals must certainly be included in the superintendent's evaluation, generally for several years running. Not all the superintendent's

responsibilities, then, must be included in the evaluation.

Indeed, the performance-appraisal system does not pretend to be comprehensive. During the first year of superintendent evaluation, however, the assessment instrument might be more detailed. This can be accomplished by including a comprehensive rating form of the superintendent's duties along with the individualized and carefully constructed goals and performance criteria (objectives). Normally, however, performance appraisal is unconcerned with routine duties.

Performance appraisal typically neglects the superintendent's personality traits, as well, though it may incorporate those that are related to the year's goals or that have created problems in the district. In the latter case, the appraisal can include goals that specify change in the superintendent's personal traits, characteristics, or style.

In the performance-appraisal system, then, superintendents are evaluated on their ability to meet predetermined, largely measurable goals. Since these goals are set by particular school boards, there is no prototypical instrument in the performance-appraisal system. Indeed, one of this system's strengths is that it requires districts to formulate their own unique goals and priorities by considering their unique circumstances and concerns.

When formulating annual goals, boards should not hesitate to focus on areas where the superintendent needs to improve. If the competency of many of its teachers is questionable, the superintendent's goals should address that deficiency. It may also be appropriate to write goals that speak to the superintendent's personal weaknesses. A superintendent who has excellent public relations skills but who is a poor supervisor may benefit from an evaluation that speaks to that deficiency.

Ideal performance criteria specify measurable ways to accomplish goals. Say, for example, that one of the superintendent's goals is to improve the schools' relations with parents. Performance criteria for that goal could include requiring the superintendent to attend at least nine P.T.A. meetings, establishing informal monthly forums at each school where parents could discuss their concerns with administrators, and making six presentations before local civic groups. Another way to quantify this goal would be to stipulate that formal complaints from parents decline by 25 percent during the year.

Not all goals are easily quantified, however. Achievement scores do not truly or fully measure what students learn, nor does a decline in complaints from parents necessarily indicate

that parents are pleased with their children's education. It may simply mean that they are too apathetic or discouraged to complain! Board members must bear in mind that educational and administrative achievements are, by nature, difficult to evaluate precisely. Some school boards simply review and amend the superintendent's offerings, since formulating and writing performance criteria are rather technical tasks requiring special knowledge and skills.

The board and superintendent might also agree on general standards of behavior for the superintendent. This list of acceptable and unacceptable behaviors constitutes a moral compass of sorts. It suggests that certain ethical considerations must guide how the superintendent goes about pursuing the district's goals.

Cooperation is critical when the board members and superintendent sit down with their respective sets of evaluation ideas. To be sure, the board is the district's primary policymaking party. But the superintendent is a trained professional with personal and professional goals that should be respected, if not always followed. Hence the superintendent should have more than a little to say about which administrative goals should be pursued over the next year. Board members, furthermore, must realize that tasks that look very easy on paper can consume many hours and that unforeseen and unscheduled problems and opportunities arise daily for superintendents.

The board and superintendent should also, at this point, be sure that they understand and agree on evaluation mechanics. The evaluation's timetable should be spelled out, as should the role of board members and the superintendent. These mechanics are ordinarily specified in the district's superintendent evaluation policy.

Midyear Review

The midyear review fine tunes the evaluation instrument. This is the time for the board and superintendent to review and, if necessary, reassess goals and performance criteria. The objectives should receive particularly close scrutiny. Are they reasonable? Are they bringing the district closer to its goals?

The midyear review should not offer lazy or ineffective superintendents an opportunity to gut the evaluation instrument. Board members should not readily agree to scaling back carefully formulated goals and performance criteria. Yet no evaluation plan is flawless, and the board should not be afraid to make adjustments, even in midstream.

The midyear review is also, as its name suggests, a time to review the superintendent's performance. The board should determine how well the superintendent is meeting the agreed-upon goals, and it should communicate its findings to the superintendent. This assessment cannot and should not be as thorough as the final evaluation will be. Nonetheless, the midyear review serves to remind both the superintendent and the board of the goals and performance criteria that the superintendent is committed to pursuing. It points out problem areas and gives the superintendent time to remedy them before the evaluation period ends.

Pre-Appraisal Activities, Filling Out Instrument, Board Discussion

The superintendent and board members must prepare carefully for the pre-appraisal meeting. All of them should fill out the evaluation instrument, including substantial written comments.

The board will not, in most cases, need to do an inordinate amount of research to evaluate its superintendent. Most performance criteria include their own measurement devices. One can readily discern, for example, if elementary students' test scores in math rose by at least 5 percent or if the superintendent instituted monthly press conferences. Yet it would be more difficult to measure the effectiveness of those press conferences or, to use an even better example, the quality of a new teacher-evaluation system. Board members should carefully evaluate the superintendent's work and sometimes meet with staff and even consultants to assess their superintendent's performance.

Yet the superintendent should play a large role in superintendent evaluation—particularly if that person enjoys the board's respect and trust. The superintendent should prepare a detailed self-appraisal and present it orally and in writing to the board at the pre-appraisal meeting. This report should address how the superintendent fared in meeting the goals and performance criteria, the reasons for successes and failures, and their implications for next year's goals. This is also a good time to direct questions or concerns to the superintendent.

Following the meeting, the board should combine the superintendent's verbal and written self-evaluations and its own evaluations into a single document.

Superintendent Appraisal Meeting, Setting Goals for Next Year

The final evaluation should be a carefully constructed, written assessment from the entire board. It should be moderate in tone, avoiding both exaggerated praise and excessive criticism. It should emphasize the superintendent's performance in accomplishing the pre-established goals and performance criteria, but personal characteristics that interfered with that performance might also be noted. The evaluation should include suggestions for improvement where improvement is called for.

This evaluation may also be the occasion for deciding contract or salary questions. If so, the board should bear in mind that other factors, such as budget constraints, also affect that decision.

The evaluation should be first presented verbally, in a conversational format. This offers the superintendent an opportunity to respond to concerns and comments, to be an active part of the evaluation presentation, not just a passive subject. Even largely unfavorable evaluations should end on a positive note. The superintendent should soon provide a written response to the evaluation that becomes part of the permanent evaluation record.

A good evaluation requires action from the evaluators as well as the evaluatee. This is the time for the board to commit itself to helping the superintendent improve, particularly if there are serious problems to be addressed. The board may need to free up money or time in the district for the superintendent to pursue professional development in a particular area, or it may need to spend more of its own time assisting and advising the superintendent. Evaluation, like administration, is a cooperative endeavor.

The final evaluation should also serve at least as a springboard to identifying goals and performance criteria for the following year. Evaluation and goal-setting, after all, are continual processes. The end of one cycle constitutes the beginning of another.

Resources
Annotated Bibliography

Most of the entries in this bibliography were selected and annotated by Gary B. Kiernan, Superintendent of Schools, Lakeland School District 5460, Bonnyville, Alberta, Canada.

Alberta School Trustees Association. *Executive Officer Performance Evaluation: An Introductory Guide.* Edmonton, Alberta: Author, 1983.

This guide provides a general nonprescriptive overview of the purpose and procedures associated with evaluation of the superintendent or other senior school district officers. Both employee and employer, the guide argues, will benefit from a well-designed evaluation system. Four characteristics of a sound performance evaluation are identified:

- purpose clearly defined
- process clearly defined
- judgments based on good data
- process is ongoing

Although the booklet does not recommend a particular process, it is premised on the adoption of performance standards and a cooperative approach.

Bippus, Stanley L. "A Full, Fair, and Formal Evaluation Will Enable Your Superintendent to Excel." *The American School Board Journal* 172, 4 (April 1985): 42-43. EJ 316 696.

Bippus is particularly concerned with superintendent evaluation in smaller districts. Such districts can more easily include other administrators and teachers in the evaluation process. They may also, however, need to hire consultants to conduct portions of the evaluation and to write its final draft.

Goal setting, the author asserts, is evaluation's most critical and mismanaged step. The superintendent and board members must be very clear about what they have agreed to evaluate. A midyear, written report can ensure that the superintendent does not neglect or forget that agreement.

Bolton, Dale L. "Problems and Issues in the Evaluation of Administrative Performance." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices.* A CEDR Monograph. 69-91. Bloomington, IN: Phi Delta Kappa, 1975. **Chapter: ED 151 911 Entire Book: ED 151 907.**

Bolton examines a variety of issues related to the planning, implementation, and evaluation of a system for evaluating administrative performance. Most of the issues raised are related to making the process cooperative, efficient, and effective.

Bolton favors a formative, objectives-based approach to evaluation.

Booth, Ronald R., and Gerald R. Glaub. *Planned Appraisal of the Superintendent: A Performance-Based Program for School Boards and Superintendents. A Handbook.* Springfield, IL: Illinois Association of School Boards, 1978. ED 154 536.

This is a handbook prepared by the Illinois Association of School Boards for use by its membership. An accompanying workbook, *Ten Exercises Toward Planning a Superintendent Appraisal System,* is also available.

Both the handbook and the workbook reflect a performance appraisal approach to evaluation—an approach that focuses on how well the superintendent has achieved reasonable district goals and objectives. Appraisal reflects an ongoing process of goal setting, monitoring, and evaluation.

The handbook contains some good information and is presented in a readable fashion.

Braddom, Carolyn L. "Prescription for Improvement: Make Certain Your School Board's System of Evaluating the Superintendent Is Fair, Fast, Factual, and Frequent." *The American School Board Journal* 173, 8 (August 1986): 28-29. EJ 338 812.

The Forest Hills, Ohio, School District combines rating scales and narratives in its superintendent evaluations. The evaluation covers three broad areas: people management, goal achievement, and personal qualities. Each year the district identifies and ranks specific goals within each of the three topics.

Like most authorities, Braddom suggests that the board draw up a single evaluation rather than presenting the superintendent with one from each member.

Calzi, Frank F., and Robert W. Heller. "Make Evaluation the Key to Your Superintendent's Success." *The American School Board Journal* 176, 4 (April 1989): 33-34. EJ 387 080.

"Unless you know exactly what you're evaluating," the authors admonish, "you run the risk of turning the evaluation process into whatever each board member decides to make of it."

One way to avoid that eventuality is to include other documents and many people in the superintendent assessment process. The Edgemont Union Free School District in Scarsdale, New York, drew on some seventy members of the school and community to develop a long-range plan. Administrative staff then formulated the superintendent's priorities and objectives from that plan.

The authors urge boards to use essays rather than checklists in their final evaluation. Essays force board members to be more thoughtful and to assess performance by citing specific examples.

Cunningham, Luvern L., and Joseph T. Hentges. *The American School Superintendency, 1982: A Summary Report*. Arlington, VA: American Association of School Administrators, 1982. 81 pages. ED 225 295.

This booklet reports on a national survey of school superintendents in the United States. It provides a demographic profile and information on roles, responsibilities, terms of employment (including evaluation), and the major themes and trends affecting the superintendent.

Superintendents believe their role to be more complex than previously but are generally satisfied with their preparation and would choose to be superintendents again. There is increasing stress and tension resulting from teacher militancy and board-superintendent relations. Human relations and general management skills (including finance) are the major areas of responsibility and attention.

Evaluation is becoming a regular practice, but still tends to be more informal than formal and more general than specific. The board tends to act independently in evaluating the performance of the superintendent; the emphasis is on accountability. A more detailed report on evaluation practices identified by the survey is presented in the Sonedecker (1984) dissertation.

Dickinson, Dallas P. "Superintendent Evaluation Requires a Sophisticated, Step-By-Step Plan Like the One You'll Find Right Here." *The American School Board Journal* 167, 6 (June 1980): 34, 37-38. EJ 225 506.

This article argues for a structured approach to evaluation that follows a set timetable. Although not explicitly a management-by-objectives approach, the recommended process requires establishment of criteria and involves a cyclical process.

Dittloff, Richard. "Evaluate the Superintendent." *The American School Board Journal* 169, 11 (November 1982): 41. EJ 271 177.

Dittloff describes how the Ashwaubenon, Wisconsin, School District utilizes both its superintendent's job description and annual goals to evaluate its superintendent.

Each year the board and superintendent agree on three to five specific goals. They then examine the superintendent's job description to determine which of three broad responsibilities should, in light of the year's goals, receive the most attention: people management, task management, or personal competence.

Dittloff cautions board members to strive for objectivity and assessment of performance rather than personality to avoid politicizing the evaluation.

Educational Research Service. *Evaluating Administrative Performance*. ERS Report. Arlington, VA: Author, 1985. 144 pages. ED 257 181.

This study is not confined to evaluation of the superintendent, but rather deals with all educational administrators. According to the study, performance appraisal of administrators has increased significantly during the 1970s and 1980s.

Information is provided on factors that impinge upon the performance evaluation of administrators, and a variety of approaches are presented. A number of sample instruments are provided.

Educational Research Service. *Evaluating Superintendents and School Boards*. ERS Report. Arlington, VA: Author, 1990. 168 pages.

This booklet reports on a survey of a nationwide random sample of 2,576 school district superintendents.

About 87 percent of the superintendents stated they are evaluated at least annually by their school boards. Many school boards use more than one technique to evaluate their superintendents. Three techniques predominated: performance checklists/rating scales (used by 80 percent), discussions among board members (71 percent), and written comments or essays (61 percent).

The book provides some general guidelines for evaluation and recommends that procedures be developed jointly by board and superintendent. Sample instruments are provided.

Georgia School Boards Association. *Superintendent Evaluation: Participants Manual*. Author, 1986.

This document was developed for use by Georgia school boards (the Georgia Quality Basic Education Act requires that every superintendent be evaluated annually by a trained evaluator using the state-mandated instrument).

Superintendent performance is evaluated in seven major task areas: serves as CEO, acts as educational leader, oversees staff personnel management, oversees facilities, oversees financial management, directs community relations activities, and oversees pupil personnel services. Performance is rated on a four-point scale of expectations: well below, below, meets, exceeds. The Georgia system represents a highly structured approach.

Gephardt, William J. "Designing a Plan for Evaluating Administrative Performance." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices*. 219-35. Bloomington, IN: Phi Delta Kappa, 1975. Chapter: ED 151 917. Entire Book: ED 151 911.

The author outlines several principles that underlie the design of an evalu-

ation plan: The design of an administrative performance evaluation system is seen as a situation specific task and not a *trivial* one. The design work itself is important. Second, the system should not be conceived of as a static entity. It will be constantly evolving. Third, the system's purpose or function is paramount. Fourth, the people directly involved with the system should be involved continually in its development and evolution. And finally, the process used for designing the system will materially affect the nature and quality of the system.

Ingle, Robert B. "Administrative Evaluation: A Caveat." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices*. 239-46. Bloomington, IN: Phi Delta Kappa, 1975. Chapter: ED 151 918. Entire Book: ED 151 911.

This chapter addresses four important questions with respect to administrator evaluation:

1. How can the evaluation system be made nonthreatening?
2. Should the evaluation of administrators be for individual improvement or for decisions regarding employment status?
3. Should administrators be evaluated on process or product?
4. Should the techniques used to evaluate administrators be objective or subjective?

Levinson, Harry. "Appraisal of *What* Performance?" *Harvard Business Review* 54, 4 (1976): 30-40.

Levinson argues that the appraisal of individual performance must be viewed within the environmental context.

He calls for changes in performance appraisal procedures that will incorporate both situational and behavioral expectations into job descriptions, maintenance of a record of critical incidents, appraisal, and separation of the formative and summative aspects of evaluation.

Lindgren, Janet. *Evaluating Your Superintendent*. Sacramento, CA: California School Boards Association, 1985. 58 pages. ED 296 435.

This small book prepared for the California School Boards Association addresses the topic through a series of questions: Why Evaluate? What Should Be Evaluated? When Is Evaluation Undertaken? What Information Is Needed? How Should Evaluation Take Place? and What Happens with Results?

Lindgren favors a performance appraisal approach to evaluation and provides examples of policies, job descriptions, and a variety of evaluation instruments.

McGregor, Douglas. "An Uneasy Look at Performance Ap-

praisal." *Harvard Business Review* 35 (May/June 1957): 89-94.

This is a classic article on the evaluation of employee performance. McGregor is among the first to argue that appraisal of employees must be tied to measurable behaviors and outcomes, not to personal characteristics or traits. He argues for a management-by-objectives approach to performance appraisal.

Meidan, Arthur. *The Appraisal of Managerial Performance.* New York: AMACOM, 1981.

Meidan reviews the major approaches to appraising managerial performance in the private sector.

He argues that performance must be based on objective measures of predetermined behaviors or outcomes. Management by objectives has not gained broad acceptance, he suggests, because of the difficulty in identifying measurable behavioral objectives. He argues that the "how" of performance must also be measured.

New Jersey School Boards Association. *Evaluating the Chief School Administrator: Fulfilling the Board's Governance Responsibility.* Trenton, NJ: Author, May 1987. 15 pages. ED 288 240.

This book proposes a management-by-objectives approach to superintendent evaluation, starting with board self-evaluation.

The process incorporates written objectives, a progress schedule, action planning for each objective, year-long monitoring of progress, and a culminating summative evaluation conference. Examples of forms are provided.

Nystrand, Raphael. *Principles and Procedures for Evaluating the Superintendent of Schools.* Frankfort, KY: Kentucky School Boards Association, 1985.

Kentucky school boards are required by the Department of Education to evaluate superintendents at least every two years.

This document provides a general overview of the evaluation process. It lists eight purposes for evaluation, three preconditions, eight principles, and nine steps to establish a process. The approach is structured, criteria-based, and cooperatively developed.

Redfern, George. *Evaluating the Superintendent.* Arlington, VA: American Association of School Administrators, 1980. 79 pages. ED 204 842.

A brief historical review of evaluation practices is followed by an analysis of the options available. A number of sample instruments representing the various types of evaluations are provided. Redfern indicates that "checklists" are the most common method used.

He recommends that evaluation be formal, planned, based upon a written policy and job description, and focus on objectives and outcomes that are measurable.

Roelle, Robert J., and Robert L. Monks. "A Six-Point Plan for Evaluating Your Superintendent." *The American School Board Journal* 165, 9 (September 1978): 36-37. EJ 186 690.

The authors outline a multistage process for developing an effective evaluation of the superintendent: (1) agree that formal evaluation is needed, (2) determine the purpose of evaluation, (3) choose an evaluation system, (4) recognize that good attainment will not necessarily satisfy the board, (5) select information sources, and (6) develop the process. A personalized approach is needed, the authors say.

Snavely, Ronald J. "Performance Appraisal of Public School Superintendents: A Survey of Current Evaluation Practices in the United States." *Dissertation Abstracts International*, 1984, 45, 2723A.

Using survey methodology, the author examined formal superintendent evaluation procedures across the United States. He found that school district size, location, type of community (rural/urban), educational level of superintendent, and years superintendent occupied position all affected the type of evaluation procedure used (that is, the effects of these variables were statistically significant).

Sokol, Michael, and Robert Oresick. "Managerial Performance Appraisal." In Ronald A. Berk (Ed.), *Performance Assessment*. 376-92. Baltimore, MA: Johns Hopkins University Press, 1986.

The two major problems of performance appraisal, the authors say, are identification of what is to be measured and the criteria by which it will be measured.

They suggest that performance appraisal systems can be grouped into three categories: comparative (criteria are other people), outcome-oriented (criteria are products), and absolute (criteria are behaviors). They recommend a behavioral approach that focuses on job competencies.

Sonedecker, J.W. "Evaluation of the American Public School Superintendent." (Doctoral dissertation, Ohio State University, 1984). *Dissertation Abstracts International*, 45, 1065A.

This study used data collected as part of the 1982 American Association of School Administrators national survey of school superintendents.

The author found: increasing use of formal procedures, especially among younger, newer, career-bound, PhD., and urban superintendents; a meeting between the board and superintendent to be the most common feature of evaluations; a focus on management as opposed to instructional leadership;

evaluation carried out primarily for accountability purposes; and superintendent appraisal still more informal that formal in process.

He recommends that evaluation based on formal job description be mandated by state law.

Wyles, Douglas. "How to Evaluate Your Superintendent." Paper presented to the annual convention of the National School Boards Association, Las Vegas, NV, April 1986.

This paper presents the PRAISE (Performance Review, Analysis and Improvement System for Educators) program developed at Brock University. This approach uses data collected from a variety of sources—supervisors, peers, subordinates, and self—to provide a confidential report on performance. A formative approach to evaluating the superintendent, PRAISE will not serve summative purposes.

Zappula, Elio (Ed.). *Evaluating Administrative Performance: Current Trends and Techniques.* Belmont, CA: Star Publishing, 1983.

A collection of articles by a wide variety of individuals, this book provides a good general overview of administrator evaluation. Most of the articles, however, focus on the evaluation of the school principal, not the superintendent.

One useful question raised by the book is the extent to which evaluation of the superintendent should be different from the evaluation of other administrators.

SECTION 6: PARTICIPANT NOTEBOOK

HOW TO USE THE MASTER COPY OF YOUR PARTICIPANT NOTEBOOK

The following pages, printed in black on white stock, form a permanent, master copy of the participant notebook to be distributed to each board member who attends your session. To reproduce, simply line up the blue line on these pages with the margin indicated on your printer. Include the cover sheet so the packet is clearly labeled. When the job is done, replace the originals in this binder.

Also included in this section are master copies of some workshop exercises that can be provided participants in a "take-home" packet for use in their school communities. A sample cover letter also is provided.

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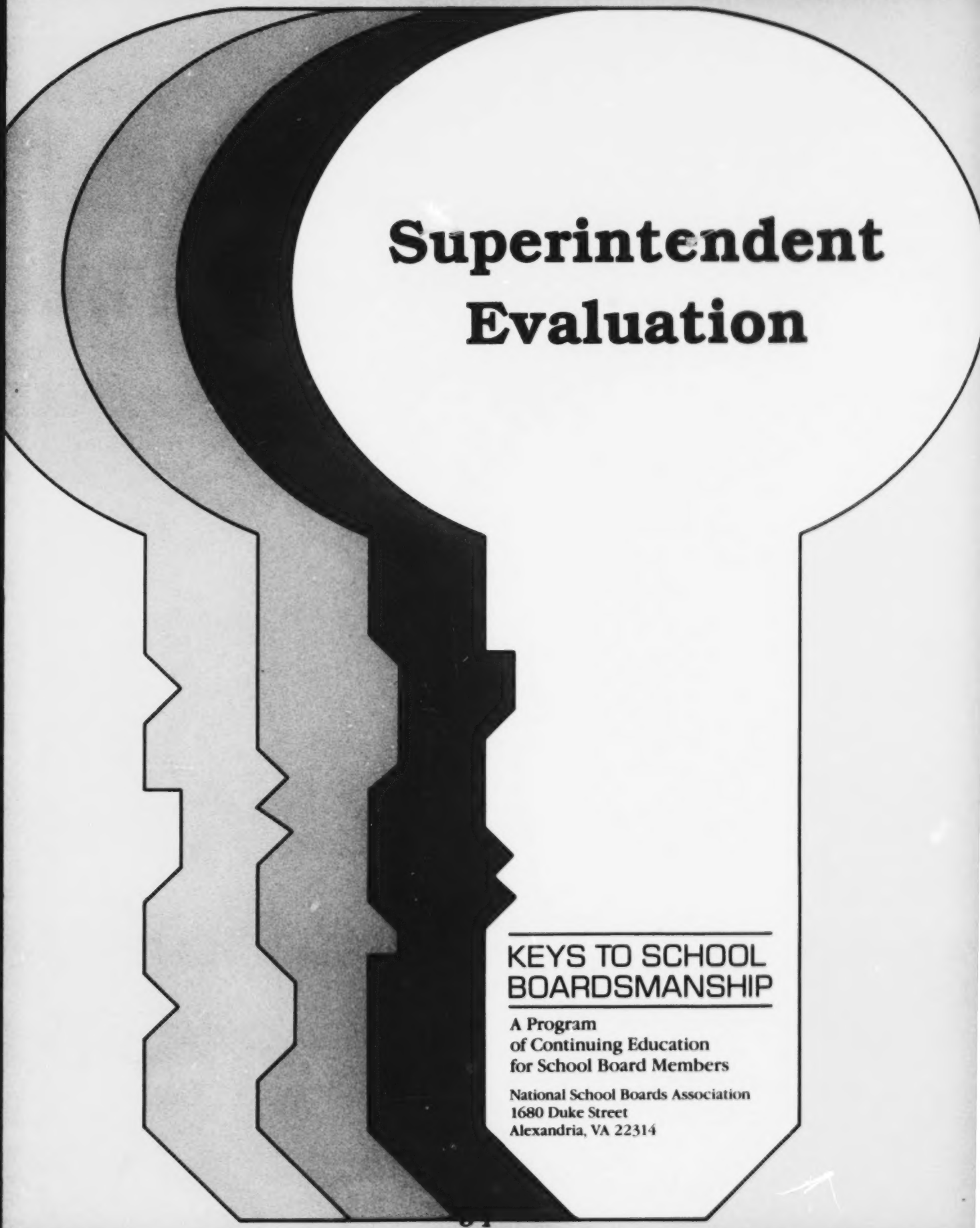

Superintendent Evaluation

KEYS TO SCHOOL BOARDSMANSHIP

A Program
of Continuing Education
for School Board Members

National School Boards Association
1680 Duke Street
Alexandria, VA 22314

Participant's Workbook

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Your Most Pressing Concern

What is your most pressing concern about superintendent evaluation in your district? (Please write in the space below)

Sample Superintendent Evaluation Policy

The Board of Education of the Oak Grove School District will conduct a formal, annual evaluation of its superintendent as part of its regular duties.

This evaluation will serve several purposes. Most importantly, it will link superintendent assessment to the district's long-range plan. Indeed, the superintendent's evaluation goals must not conflict with the district's plan, its superintendent's job description, or its policies detailing the division of responsibility between board and superintendent. The Oak Grove School District will also evaluate its superintendent to: facilitate communication and understanding between the board and superintendent, commend the superintendent for accomplishments and point out weaknesses, suggest ways for the superintendent to improve, and facilitate and document decisions made regarding the superintendent's employment.

The superintendent will be evaluated by the performance-appraisal system. This system requires the board and superintendent to cooperatively establish each year's goals and performance criteria at the beginning of the annual evaluation cycle. The goals and criteria will be as specific and measurable as is practical. They will vary from year to year, depending on the district's needs. The evaluation will consistently emphasize how successfully the superintendent performed in meeting the pre-established goals and criteria. Minor responsibilities and personal characteristics may also be evaluated. The evaluation will largely appear in an essay format, although other evaluation tools can also be included.

The board and superintendent will meet at least once during the year to evaluate the superintendent's progress. This evaluation will also afford the board an opportunity to amend its goals and performance criteria. The final evaluation will be preceded by a pre-appraisal meeting at which the superintendent presents a detailed self-evaluation and responds to board members' questions and concerns.

The final evaluation meeting will occur at the end of the annual evaluation cycle. This meeting will be given over entirely to the evaluation, and all board members must attend. At this time the board will present its final evaluation to the superintendent. That evaluation should speak to how successfully the superintendent met the pre-established goals and performance criteria. The assessment should come from the board as a whole rather than consisting of several comments from individual board members. The evaluation should note both successes and failures, be moderate in tone, and offer suggestions for improvement. The board will invite the superintendent's participation during this evaluation, and the superintendent will provide a written response within three weeks. That response will become part of the final evaluation.

The board and superintendent will begin formulating goals and performance criteria for the coming year within one month of the final evaluation.

Evaluation Timeline

Month	Activity
Immediately (one time only)	Adopt a policy statement.
1-2 (not necessary if already established)	Develop superintendent's job description, policy on board/superintendent responsibilities, at least tentative district plans.
1-2	Board and superintendent develop goals.
2	Board and superintendent develop performance criteria.
4	Progress report and feedback.
6-7	Midyear review.
8-9	Progress report and feedback.
10-11	Superintendent prepares self-evaluation.
11	Superintendent presents self-evaluation to board at pre-appraisal meeting.
11-12	Board prepares final evaluation in executive session.
12	Board presents final evaluation to superintendent at appraisal meeting.
12	Superintendent writes reply to evaluation.
12-13	Board and superintendent begin developing goals and performance criteria for the following year.

Exercise: Is It a School Board or Superintendent Responsibility?

Below is a list of responsibilities that belong to the school board and/or to the superintendent. Read each one and decide who has that specific responsibility. Place a B in front of items that you believe belong to the school board and an S in front of those the superintendent should have. If you cannot decide, place a question mark in front of the item.

____ 1. Formulate and adopt policies for the government of the school system.
____ 2. Provide direction for the educational system.
____ 3. Prepare and submit courses of study.
____ 4. Give leadership in the continuing development, operation, supervision, and evaluation of the educational program.
____ 5. Prescribe a course of study.
____ 6. Approve the annual budget.
____ 7. Manage collective bargaining agreements.
____ 8. Recommend textbooks and materials.
____ 9. Approve collective bargaining agreements.
____ 10. Adopt textbooks and teacher materials.
____ 11. Require and consider periodic reports on the educational program.
____ 12. Prepare and submit the annual budget.
____ 13. Direct all purchases for the district.
____ 14. Prepare and present reports on the educational program as required.
____ 15. Approve the capital outlay.
____ 16. Approve bills previously authorized.
____ 17. Direct all capital expenditures.
____ 18. Require and approve effective plans for maintenance and operation of school properties.
____ 19. Maintain a continuous inventory.
____ 20. Plan necessary changes of school plant and facilities.
____ 21. Approve architect's plans.
____ 22. Require annual report on district programs.
____ 23. Administer programs of maintenance and operation of school properties.
____ 24. Prepare and present studies of continuing facilities needs.
____ 25. Provide for and submit necessary plans.
____ 26. Represent schools and their needs to the community, the state legislature, and the federal government.
____ 27. Provide annual report on district programs.
____ 28. Require adequate reports on school property and equipment.
____ 29. Plan and prepare measures to keep the community and legislature informed.
____ 30. Act as final appeal for school personnel, citizens, and students.

Test adapated from: National School Boards Association, *Board/Administrator Relations*, Keys to School Boardsmanship: A Program of Continuing Education for School Board Members.

Answer Key to Exercise: Is It a School Board or Superintendent Responsibility?

The responsibilities of school boards and superintendents can and do vary across districts, particularly between large and small districts. In general, however, the responsibilities of policymaking boards and their superintendents are as follows:

B 1. Formulate and adopt policies for the government of the school system.
B 2. Provide direction for the educational system.
S 3. Prepare and submit courses of study.
S 4. Give leadership in the continuing development, operation, supervision, and evaluation of the educational program.
B 5. Prescribe a course of study.
B 6. Approve the annual budget.
S 7. Manage collective bargaining agreements.
S 8. Recommend textbooks and materials.
B 9. Approve collective bargaining agreements.
B 10. Adopt textbooks and teacher materials.
B 11. Require and consider periodic reports on the educational program.
S 12. Prepare and submit the annual budget.
S 13. Direct all purchases for the district.
S 14. Prepare and present reports on the educational program as required.
B 15. Approve the capital outlay.
B 16. Approve bills previously authorized.
S 17. Direct all capital expenditures.
B 18. Require and approve effective plans for maintenance and operation of school properties.
S 19. Maintain a continuous inventory.
B 20. Plan necessary changes of school plant and facilities.
B 21. Approve architect's plans.
B 22. Require annual report on district programs.
S 23. Administer programs of maintenance and operation of school properties.
S 24. Prepare and present studies of continuing facilities needs.
S 25. Provide for and submit necessary plans.
B 26. Represent schools and their needs to the community, the state legislature, and the federal government.
S 27. Provide annual report on district programs.
B 28. Require adequate reports on school property and equipment.
S 29. Plan and prepare measures to keep the community and legislature informed.
B 30. Act as final appeal for school personnel, citizens, and students.

Brainstorming the Purpose of Superintendent Evaluation

What are the major benefits of superintendent evaluation?

Features of the Performance Appraisal System

Characteristics and advantages are as follows:

- It tends to be more selective and less comprehensive than most superintendent-evaluation systems.
- It focuses on the district's and superintendent's most important goals for the year.
- It is largely concerned with how successfully the superintendent meets those goals, not with the superintendent's personal characteristics.
- It can include an evaluation of selected personality traits or relatively minor aspects of the superintendent's job.
- The evaluation is largely in an essay format.
- The evaluation can also include more structured instruments, such as forced choice, checklist, and rating scales.
- It is different for each district and superintendent because each district and superintendent has unique characteristics and goals.

Sample Final Superintendent Evaluation

Reproduced below is an example of a final superintendent evaluation, in essay form, using the performance-appraisal system.

Part I—Attainment of Goals and Performance Criteria

1. Attached are:
   a) Copies of the agreed-upon goals and performance criteria
   b) The superintendent's self-evaluation of how successfully he or she achieved those goals and criteria

   The self-evaluation should include:
   a) Description of level of attainment, with any supporting data
   b) Analysis of level of attainment, including unforeseen or uncontrollable factors that influenced attainments
2. Summarize below the board's appraisal of the superintendent's performance in attaining the agreed-upon goals and performance criteria:

Goal A: The district will make substantial progress toward improving its public image.

Performance Criteria 1: Each school will initiate at least one positive newspaper article or television report about its activities during the school year.

Evaluation: Four of the district's six schools met this criteria, and some of the stories excited a lot of notice. One of the elementary school principals did very little to publicize his school, however. We recommended that the superintendent make this goal the most important aspect of that principal's evaluation for this goal. Other than this episode, we believe that the superintendent did a fine job with this performance criteria.

Performance Criteria 2: The board will meet informally for 1/2 hour before each regular board meeting to ensure that meetings flow more smoothly.

Evaluation: The superintendent did a fine job of reminding the board about this agreement, which the board followed quite faithfully.

Performance Criteria 3: The district's newsletter will be published nine times a year rather than four.

Evaluation: The superintendent met this rather challenging objective with apparent ease. We noticed, however, that the quality of the publication appeared to deteriorate in some ways. We recommend that over the following year the superintendent include more human-interest stories from throughout the district in the newsletter and that a more experienced technician/designer design it.

Overall Evaluation: The superintendent led the district to substantial improvements in its public image over the past year. With better communications between principals, superintendent, and the board, we believe that continued progress is certain.

Goal B: The district's ineffective teachers will either be terminated or become competent over the next three years.

Performance Criteria 1: The superintendent will examine personnel records and meet with the district's principals to establish a list of teachers considered ineffective. By December 1.

Evaluation: The superintendent did an excellent job of carefully compiling this list, as several of the principals we spoke with attested to.

Performance Criteria 2: The superintendent will supervise the creation of a new teacher-evaluation instrument that more effectively documents ineffective teaching. By June 1.

Evaluation: The superintendent worked hard to provide the district with an evaluation instrument that is much more capable of identifying ineffective teachers than was the previous one. We are particularly impressed that the superintendent chose to solicit advice from several of the district's finest teachers to ensure that the instrument was sensitive to teachers' perspectives.

Performance Criteria 3: The superintendent and principals will develop a two-year plan for improving ineffective teachers' skills. By July 1.

Evaluation: Although not quite complete, the plan appears to be sound. We urge the superintendent to finish it as quickly as possible so as not to retard further steps in this important process.

Overall Evaluation: This is an ambitious, long-term project, and the superintendent and his staff made excellent progress toward it over the year. Much of the groundwork is in place, and we have high hopes for the project's eventual success.

Goal C: The district will decide how to fund the building of a new elementary school.

Performance Criteria 1: The superintendent will establish several plans for how to fund the new school. By February 1.

Evaluation: The superintendent created several detailed and potentially viable plans for funding the new school. We commend him for a carefully constructed and meticulous report.

Performance Criteria 2: The superintendent will hold six public meetings on how best to fund the new school. By May 1.

Evaluation: The superintendent oversaw six public meetings and took steps to ensure that they would be well attended. Our only concern is that major portions of some of the meetings centered on whether a new school was needed rather than on how one could be funded. This topic had been settled the year before, and its continued debate threatens to postpone moving ahead on the new school. We recommend that in the future the superintendent restrict what may be addressed at these meetings.

Performance Criteria 3: Submit a detailed recommendation to the board of which plan to pursue. By July 1.

Evaluation: As is almost always the case, this report is well researched and its conclusions are reasonable. We are very pleased with it.

Overall Evaluation: This long-term project is progressing well, largely due to the superintendent's research and planning abilities. We are concerned, however, with the public relations aspects of this project and urge the superintendent to prepare more carefully for public meetings on this topic in the future.

Part II—Conclusions

We are pleased with the superintendent's performance over the past year, including all three of the principal goals. As expected, the superintendent has done particularly well at researching, cooperating, and writing. We feel very confident of the plans he suggests, and he does an excellent job of getting most of the administrative staff to help formulate and carry out these plans.

We have two major concerns: First, the superintendent seldom gets much work from apathetic administrators or problem employees. We are, therefore, setting aside time and money for him to attend two workshops over the coming year on how to supervise such people. Second, he does not always sufficiently consider how the public will perceive his actions. Even the best plans often suffer if they lack public support. We believe that this shortcoming can be remedied in part by the superintendent working more closely with the board on activities that are sensitive in the community.

We reiterate, however, that these concerns—while not minor—do not negate what has been a fine performance this year. You are a credit to the district, and we are pleased to enjoy your services.

SIGNATURES: (verifies the report's authenticity, not agreement with it's content)

Superintendent _____

Board President _____

Date _____

Adapted from: Roland R. Booth and Gerald R. Glaub, *Ten Exercises Toward Planning a Superintendent Appraisal System.*

List of Superintendent Responsibilities

The following list includes superintendent responsibilities that might be addressed in a performance-appraisal system.

Board Relations

- Prepares reports and materials for the board
- Presents reports to the board
- Makes recommendations to the board
- Responds to board requests
- Informs the board about district operations
- Implements board actions

Community/Public Relations

- Maintains media contacts
- Interprets district problems to the community
- Interprets the educational program to the community
- Responds to community concerns
- Provides publications to the community

Staff Management

- Employs personnel
- Utilizes employees
- Administers personnel policies and procedures
- Administers salary and benefits
- Directs employee relations program
- Administers personnel evaluations

Business and Fiscal Management

- Determines district's educational needs
- Forecasts financial requirements
- Prepares budget
- Manages budget allocations
- Cost account and cost effectiveness management
- Procures equipment, materials, supplies
- Financial reporting

Facilities Management

- Plans for the provision of physical facilities
- Manages the maintenance of buildings and grounds

- Provides for the safety and security of personnel and property
- Plans for and manages modifications, renovations, expansions, and discontinuation of facilities
- Directs the utilization of facilities

Curriculum and Instructional Management

- Keeps abreast of trends and developments in curriculum and instruction
- Initiates, modifies, and discontinues programs
- Directs the supervision of instruction
- Monitors the effectiveness of instructional programs
- Assesses the effectiveness of instructional programs
- Plans and directs staff development
- Manages state and federal programs and projects

Management of Student Services

- Provides comprehensive student personnel services
- Manages enrollment and attendance policies
- Manages student behavior and discipline
- Provides for students' health and safety
- Provides liaison to community social agencies

Comprehensive Planning

- Develops and implements short and long-range plans
- Develops management systems
- Trains administrators and supervisors in planning
- Establishes accountability procedures
- Evaluates the results of planning

Professional and Personal Development

- Keeps current professionally
- Represents district at local, state, and national meetings related to education
- Contributes to profession by writing and speaking
- Participates in local, state, and national professional organizations

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Adapted from: George B. Redfern, *Evaluating the Superintendent*.

List of Superintendent Traits

Performance-appraisal evaluation can take into account a variety of personal traits and skills, such as those listed below.

- Ability under pressure
- Attitude
- Courage
- Decision making
- Delegating authority
- Educational philosophy
- Health
- Idealism and enthusiasm
- Judgment and perception
- Knowledge of curriculum
- Knowledge of finance/ budgeting
- Leadership and responsibility
- Moral character
- Negotiations skills
- Oral and written expression
- Organizational ability
- Personal appearance
- Personal efficiency
- Professional improvement
- Progressiveness
- Sensitivity
- Staff relationships

Source: Ronald R. Booth and Gerald R. Glaub, *Ten Exercises Toward Planning a Superintendent Appraisal System: A Workbook.*

Checklist of Documents Relevant to Superintendent Evaluation

Does Your District Have:	Yes	No
Statement of Goals and Objectives?		
District Mission or Philosophy Statement?		
Long-Range Plan?		
Superintendent's Job Description?		
Policy Defining the Division Between Board and Superintendent Responsibilities?		

Examples of Long-Range Planning Goals

Goals are at the heart of long-range or strategic plans. They identify a district's most salient concerns and ambitions for at least five years. Goals are normally formulated by committees with a broad representation: school board members, administrators, teachers, community members, perhaps students.

The superintendent's goals for a particular year should, of course, be closely related to the district's long-range plan. Indeed, superintendent evaluation, particularly by the performance-appraisal system, can integrate the superintendent's performance and assessment with the district's priorities.

Listed below are goal statements in curriculum and instruction from several Oregon school districts.

- "To provide a broad-based K-12 curriculum which centers on a redefinition of basic skills, relevance in subject matter, individual student creativity, capability, and emphasizing the development of a positive self-image, including sensitivity and concern for others."
- "To prepare students for the year 2000 will require an instructional delivery system designed to utilize the following: individualized student learning styles, current educational research, current educational technology, and the teacher (as facilitator and motivator) focusing on the humanization of the learning experience."
- "Improvement of instruction, with emphasis on curriculum development in basic skills (including science and social studies), staff development, use of technology, and innovative programs."
- "Provide a curriculum and instructional program that provides for exceptional children. Exceptional children includes Talented and Gifted, Special Education students as well as Students at Risk."
- "To provide curriculum materials which will promote and supplement quality instruction that will allow each student to progress to his/her fullest potential."
- "Promote instructional and academic excellence at all levels of the school district."

Several objectives are then formulated to carry out each goal, with the objectives specifying an outcome or product, a date for completion, and the person or group responsible for carrying out each objective.

Goal statements quoted from: Thomas E. Hart, *Long-Range Planning: School Districts Prepare for the Future*. Eugene, OR: Oregon School Study Council, University of Oregon.

Example of a Superintendent's Job Description

TITLE: Superintendent of Schools

QUALIFICATIONS: As set by state certification authorities

REPORTS TO: Board of Education

SUPERVISES: 1) Assistants to the superintendent
2) Principals
3) Legal advisor
4) Central office personnel
5) Special services
6) Consultants

JOB GOAL: To provide leadership in developing, achieving, and maintaining the educational programs and services; to administer and supervise (or cause to be administered or supervised) all activities of the school system.

PERFORMANCE DUTIES:

1) *Attends* all meetings of the board except when his own appointment, efficiency, contract or salary are being considered, and *serves* as ex officio member of all board committees.

2) *Conducts* a periodic audit of the total school program, and *advises* the board on recommendations for the educational advancement of the schools.

3) *Formulates* school objectives, policies, plans, and programs; and *prepares* (or causes to be prepared) and *presents* facts and explanations necessary to assist the board in its duty of adopting policies for the schools.

4) *Assists* the board in developing long-range plans to implement district goals and objectives in accordance with board policy.

5) *Recommends* to the board sales of all property no longer required by the board, and *supervises* the proper execution of such sales.

6) *Recommends* for appointment or employment all employees of the board and assigns, transfers, and *recommends* for dismissal any and all employees of the board.

7) *Directs* the preparation of the annual budget for adoption by the board, and *administers* the budget as enacted by the board, acting at all times in accordance with legal requirements and adopted board policies.

8) *Maintains* directly or through delegation such personnel records, pupil accounting records, business records, and other records which are required by law and by board policy.

9) *Recommends* the establishment or alteration of attendance boundaries for all schools in the interest of good administration of the instructional program, and *approves* the special transfer of students from one neighboring district to another only when, in the superintendent's opinion, conditions in each case warrant such action.

10) *Represents* the schools before the public, and *maintains*, through cooperative leadership, both within and without the schools, such a program of publicity and public relations as may keep the public informed as to the activities, needs and successes of the schools.

11) *Delegates* responsibilities to the management team according to the performance responsibilities found in their job descriptions and *coordinates* and *evaluates* the performance of the management team in their efforts to carry out board policy.

12) *Supervises* the effective carrying out of all constitutional or statutory laws, state regulations, and board policies.

13) *Communicates* directly or through delegation all actions of the board relating to personal matters to all employees; and *receives* from employees all communications to be made to the board.

14) *Exercises* the power to make such rules and give such instructions to school employees and students as may be necessary to implement board policy.

15) *Acts* on own discretion if action is necessary in any matter not covered by board policy, *reports* such action to the board as soon as practicable, and *recommends* policy in order to provide guidance in the future.

16) *Performs* such other tasks as may from time to time be assigned by the board.

TERMS OF EMPLOYMENT: Twelve months a year. Contract terms and salary to be determined by the board.

EVALUATION: Performance of this job will be evaluated annually in accordance with provisions of the board's policy on Evaluation of the Superintendent

Approved by: _____ Date: _____

Reviewed and agreed to by: _____ Date: _____
(INCUMBENT)

Source: Educational Policies Service, National School Boards Association.

Examples of a District's Goals

The following are samples of goals that a school board and superintendent may agree on as the basis for the superintendent's annual performance appraisal.

A. *The district will make substantial progress toward improving its public image.*

B. *The district's ineffective teachers will either be terminated or become competent in the next three years.*

C. *The district will decide how to fund the building of a new elementary school.*

Examples of a Superintendent's Performance Criteria (in order of priority)

The district goals serve as the basis for defining the superintendent's performance activities. The following examples of a superintendent's performance criteria were derived from the sample district goals listed on page 20.

Goal A: The district will make substantial progress toward improving its public image.

1. Each school will initiate at least one positive newspaper article or television report about its activities during the school year.
2. The board will meet informally for 1/2 hour before each regular board meeting to ensure that its meetings flow more smoothly.
3. The district's newsletter will be published nine times a year rather than four.

Goal B: The district's ineffective teachers will either be terminated or become competent over the next three years.

1. The superintendent will examine personnel records and meet with the district's principals to establish a list of teachers considered ineffective. By December 1.
2. The superintendent will supervise the creation of a new teacher-evaluation instrument that more effectively documents ineffective teaching. By June 1.
3. The superintendent and principals will develop a general plan for improving the teaching skills of ineffective teachers. By July 1.

Goal C: The district will decide how to fund the building of a new elementary school.

1. Establish several plans for how to fund the new school. By February 1.
2. Hold six public meetings on how best to fund the new school. By May 1.
3. Submit a detailed recommendation to the board of which plan to pursue. By July 1.

Ground Rules for the Role Play

It is difficult to discuss the performance-appraisal system of superintendent evaluation in the abstract. This role play will make the process more understandable by providing a concrete problem in a concrete district. As you will see, evaluating your superintendent brings a lot of issues and concerns to the surface.

Each of the characters in the role play has a particular agenda, personality, and set of experiences that makes cooperation challenging and consensus difficult. Yet all of them are mature people who are able to compromise.

Strive for consensus. Settling disagreements by a vote should be a last resort.

The board must strive neither to alienate its superintendent and the professional staff he or she represents nor to ignore the needs and desires of the larger community it represents and serves.

Description of the Fictional School District Featured in the Role Play

District Description:

The Bradley District is located in a relatively large, stable suburban area. It includes one high school, two middle schools, and five elementary schools. Its student population is about 6,500.

The district is relatively well-to-do, although its per capita income has declined slightly over the past couple of decades as many of its wealthier residents have moved to newer and more exclusive suburban communities.

The district has more racial diversity than most. It is roughly 65% White, 25% Black, and 10% Hispanic. Its people of color tend to have lower incomes than the area's average, and about 15% of its families fall below the poverty line.

Description of Situation Featured in the Fictional School District

Situation Description: The New Graduation Requirements:

The hottest issue in the Bradley School District is the new, state-mandated minimum graduation standards. These standards require that graduates pass the following courses in high school:

Four years of writing (previously three)

Three years of science (previously two)

Three years of math (previously two)

Graduates must have also maintained at least a 2.0 G.P.A. (a "C" average) rather than 1.5, as previously required.

The new standards went into effect the previous year. The superintendent implemented them by expanding the number of required classes offered in the three subject areas. He also expanded the high school's remedial writing and math courses—although the remedial courses do not count toward meeting the requirements.

The superintendent's measures have drawn heavy criticism, particularly from the district's Black and Hispanic communities. Initial grading revealed that their students' chances of graduating would fall off substantially because of the new standards. The remedial courses have no doubt alleviated the problem, but they also saddled the slower students with extra classes. More students are dropping out.

Many members of the community—and some of the board members—believe that the superintendent must both restore the cuts in vocational programs and find effective ways to help disadvantaged students meet the stiffer requirements. Among their suggestions are:

- Establish a tutoring program in the three subject areas
- Take more steps to identify and help at-risk students in the middle schools before they face the pressures of high school
- Employ more people of color to teach the required courses

Can you think of more?

Guidelines for Conflict Management and Effective Communication

- Realize that conflict is a normal part of human interaction and can be a positive and creative force.
- Approach differences as valuable resources.
- Establish who will make the final decision and how it will be made.
- Establish appropriate channels of communication, acceptable ways of communicating.
- Listen to and seek to understand the point of view of the person you disagree with.
- Identify and clarify differences.
- Recognize and accept the feelings that are associated with disagreements.
- Separate people from their ideas.

Paraphrasing is an excellent way to understand another person's point of view. It entails saying, in your own words, what you believe another person has said. Paraphrasing dramatically decreases the amount and degree of misunderstandings between people. It ensures that two people or parties will apprehend their true differences—which are often less substantial than they imagine!

Guidelines adapted from: John Lindelow and James J. Scott, "Managing Conflict," in Stuart C. Smith and Philip K. Piele, editors, *School Leadership: Handbook for Excellence*. Eugene, OR: ERIC Clearinghouse on Educational Management, University of Oregon, 1989.

Form for Writing a Goal in the Role Play

Write your goal in the space below:

Form for Writing Performance Criteria in the Role Play

Goal	Performance Criteria	Completion Date	Priority

Outline of the Midyear Review Process

- The superintendent reports on how successfully he or she is meeting the performance criteria.
- Are there unforeseen problems or extenuating circumstances?
- The superintendent recommends changes in the performance criteria.
- Are the criteria reasonable?
- Are the criteria helping the district to realize the goal?
- The board and superintendent discuss the recommended changes. As always, be assertive yet strive for consensus.
- Make the agreed-upon changes, if any.
- The board writes a short evaluation of how successfully the superintendent is meeting the performance criteria.

Form for Writing the Midyear Review

Revised Performance Criteria:

Midyear Evaluation of Superintendent:

Performance Criterion 1:

Performance Criterion 2:

Performance Criterion 3:

Performance Criterion 4:

Performance Criterion 5:

Performance Criterion 6:

Outline of the Pre-Appraisal Activities

- The superintendent prepares and delivers a report.
- How successfully has the superintendent met the performance criteria?
- Have there been unforeseen or extenuating circumstances?
- The board asks the superintendent questions about the report.
- The superintendent leaves and the board plans the final evaluation, scheduled for a subsequent meeting.
- The final evaluation document should:
  a) Note both successes and failures
  b) Adopt a moderate tone
  c) Note unforeseen or extenuating circumstances
  d) Point out ways for the superintendent to improve

Form for Writing the Final Superintendent Evaluation

Part I: Attainment of Goals and Performance Criteria

1. Attached are:
   a) Copies of the agreed-upon goals and performance criteria
   b) The superintendent's self-evaluation of how successfully he or she achieved those goals and criteria

   The self-evaluation should include:
   a) Description of level of attainment, with any supporting data
   b) Analysis of level of attainment, including unforeseen or uncontrollable factors that influenced attainments
2. Summarize below the board's appraisal of the superintendent's performance in attaining the agreed-upon goals and performance criteria:

First goal:

Performance Criterion 1:

Performance Criterion 2:

Performance Criterion 3:

Performance Criterion 4:

Performance Criterion 5:

Performance Criterion 6:

Part II: Conclusion:

SIGNATURES: (verifies the report's authenticity, not agreement with its content)

Superintendent _____

Board President _____

Date _____

Adapted from: Ronald R. Booth and Gerald R. Glaub, *Ten Exercises Toward Planning a Superintendent Appraisal System.*

Outline of Final Appraisal Meeting

Outline of Meeting:

The board presents its final evaluation to the superintendent.

- Use a conversational, calm tone
- Invite the superintendent's participation

Establish a goal on implementing the new minimum graduation requirements for the coming year. Write the goal below.

Next Year's Goal:

Workshop Evaluation

(1-6) Please circle the number that represents your opinion of this workshop.

Did the trainer:	Agree				Disagree			Does not apply
1. Present a well-organized workshop?	7	6	5	4	3	2	1	d.n.a
2. Know the content?	7	6	5	4	3	2	1	d.n.a
3. Present the content clearly?	7	6	5	4	3	2	1	d.n.a
4. Answer the questions clearly?	7	6	5	4	3	2	1	d.n.a
5. Act in a supportive manner?	7	6	5	4	3	2	1	d.n.a
6. Invite and encourage participation?	7	6	5	4	3	2	1	d.n.a

7. What parts of this workshop were presented particularly well?

8. What parts of this workshop were not presented well?

9. What parts of the workshop were most helpful to you?

10. What parts of the workshop were least helpful to you?

11. In what ways could the workshop be improved?

12. Would you recommend this workshop to others?

13. Additional comments:

Adapted from: "Four Steps to Every In-Service Training," by Beth Beggs, Consultant Trainer, Campbell, California.

RESOURCE BACKGROUND ESSAY

Superintendent Evaluation: Policy and Procedures

Adopt a Policy on Superintendent Evaluation

A school board cannot set about evaluating a superintendent until it decides why it wants to evaluate, what it is going to evaluate, and how it intends to go about evaluating. Effective evaluation must be preceded by an effective evaluation policy.

The policy should address the purpose of evaluation. Is the board primarily interested in pointing out achievements and problems? Such evaluations are typically intended to improve a superintendent's performance and professional development, often by suggesting solutions to personal or institutional weaknesses. They may also, of course, provide the justification for salary and contract decisions.

Evaluation policies are linked to other processes and documents. Indeed, districts without a long-range plan, clear job descriptions for administrators, and a written policy detailing the division of duties between their board and superintendent will find themselves developing these tools as they set about evaluating their superintendent. Evaluation enhances communication and clarifies the roles of the board and its superintendent. It serves to move a district toward carefully constructed and agreed-upon goals.

The policy on superintendent evaluation must also describe how the board will go about its evaluation. How will it decide what performance objectives to establish for its superintendent, and how will it assess the superintendent's success in meeting them? What role, if any, should the superintendent's personal traits play in the evaluation? What sort of evaluation instrument or form should the board utilize? When should various components of the evaluation occur?

The board must also specify the superintendent's place in the evaluation process. It must decide how large a role that person should play in establishing and measuring evaluation goals. It should decide what context the actual evaluation will occur in and how the superintendent may respond to it, both verbally and in writing.

The organizers of this workshop have certain assumptions regarding superintendents' and board members' roles. We believe that school boards represent the public interest and are therefore charged with making policies that superintendents are responsible for implementing. Many boards discover in the

process of evaluating their superintendent that they have either assumed too much or too little responsibility. The former condition results in administrative boards that oversee daily operations; the latter spawns custodial boards that hand over their policymaking powers to the superintendent. The very act of evaluation implies that board members have an agenda of their own and the responsibility to assess how the superintendent implements it.

Effective superintendent evaluation policies express several other assumptions. They assert that evaluation is a serious matter. It should occur annually and be conducted by board members who are trained to implement it. Its purpose and format should be fully understood by all participants, as should each year's evaluation criteria. There should be no painful surprises.

The evaluation itself should address the superintendent's strengths and needs for improvement. It should be a single written assessment from the board as a whole, not a series of informal or verbal evaluations presented by solitary board members. A good policy stipulates these conditions rather than assuming them.

A superintendent evaluation policy is not something that can be written without a lot of thought. Board members must learn about the evaluation process and then apply it to their district's particular characteristics and requirements. Remember, however, that the policy must be written and understood before the evaluation process actually begins. This is certainly not wasted time; discussing what a policy should include entails surveying the entire evaluation procedure. A sound policy is both a necessary and a constructive tool.

Purpose of Evaluation

Formal superintendent evaluation is a time-consuming, difficult, and potentially divisive process. Yet its advantages are compelling.

The most effective school districts recognize that evaluation is part of assessment and planning. After all, the very act of evaluating requires deciding what should be evaluated. Should superintendents be assessed largely on their ability to retain excellent teachers, write interesting board reports, or pass school levies? What is the board most concerned about? What, exactly, does it expect the superintendent to accomplish? Does the superintendent feel that the board's expectations are reasonable? The evaluation process largely consists, as we shall see, in

answering such questions. It clarifies and prioritizes the district's goals.

The performance-appraisal system of assessment is ideally suited for linking superintendent evaluation to long-range planning. Performance appraisal enables boards to select the district's most important goals for a particular year as the main elements for superintendent evaluation. It is closely related to management-by-objectives evaluation, but it is more selective. As its name implies, it is more concerned with performance than personal attributes. Its flexible, individualized format features written evaluation, although checklist or rating forms may be added to assess selected responsibilities or traits.

This sort of evaluation enhances communication. The superintendent learns what board members want and expect. Board members learn more about what the superintendent actually does and can monitor the superintendent's performance in a nonintrusive way. Evaluation entails listening to the other parties' point of view. To be sure, that activity can provoke long and heated disagreements. Board members may be at odds over the district's priorities and how to pursue them. The superintendent may resist the whole idea of formal evaluation. But it is far better to struggle with those disagreements in a controlled format than to wait for a crisis to bring them to the fore. And superintendents who resist structured evaluation and oversight may well be overwhelmed by such crises and driven from their jobs. Assessment is more likely to be empathetic, constructive, and fair when it is part of a regular and anticipated evaluation process.

That process gives board members an opportunity to assume their role as the superintendent's employer. Public schools are public institutions supported by public monies, and boards are responsible for representing the public's interests to the district's employees. Evaluation provides a tool for establishing the public's needs and then monitoring, in a nonintrusive way, how effectively the superintendent meets them.

Superintendents are the most obvious beneficiaries of superintendent evaluation. The annual document is their report card. It points out accomplishments and strengths as well as problems and shortcomings. A good evaluation, furthermore, does more than identify problems. It includes ideas for improvement, sometimes by committing funds so the superintendent can acquire relevant training. It gives the superintendent a detailed answer to the question every hard-working employee has: how am I doing and how can I do better?

Even school boards that are not convinced of the benefits of

superintendent evaluation may have to do it. Some states require superintendent evaluation, as do many contract agreements between superintendents and boards. All school boards should carefully examine the laws and contract agreements that bear on whether superintendent evaluation is required and how it is to be conducted.

Superintendent evaluation may be a routine part of contract renewal. It may form the basis for deciding whether to rehire or how much to pay the superintendent. If so, then the evaluation and contract timetables should mesh. A district should not be in the awkward position of deciding if its superintendent deserves a raise when it is only halfway through the evaluation process.

Some boards elect not to spell out the details of superintendent evaluation in their superintendent's contract. One advantage of this policy is that it gives boards the freedom to change their evaluation system as they gain more experience and knowledge. Yet it may be to the board's advantage to use the superintendent's contract to specify that it will conduct a formal, annual evaluation. The advantages are two-fold: first, it conveys to all interested parties the importance of superintendent evaluation; and second, it helps ensure that the board will, indeed, do its duty by evaluating its superintendent.

Superintendent evaluation, at the very least, is an invaluable insurance policy. It may provide insurance against stiff penalties if state law mandates superintendent evaluation. If done correctly, it certainly provides a board with documented justification for terminating the superintendent. A judicious, full appraisal of the superintendent's job performance can deter or defuse expensive lawsuits and angry constituents.

But superintendent evaluation offers more than insurance. It enhances district planning, communication between board members and the superintendent, and the monitoring and adjusting of agreed upon goals. It tells the superintendent what to work on and how to improve. The evaluation process and its results clarify goals and performance, for both the present and the future.

What Should Be Evaluated?

A superintendent-evaluation system will work only if it is constructed carefully and cooperatively. It should be integrated with a district's long-range plan and job descriptions.

The board should consider a broad range of issues as it formulates its evaluation system. What are the district's goals? What would it most like to accomplish in the next year? In the next

five years? What special challenges is the district facing? Are there critical educational issues that are not being addressed? In what areas is the district weakest?

School boards that have abdicated their supervisory and policy-making functions will need to reclaim them at this point. Superintendents, to be sure, should play a large role in defining their jobs. But boards can be fair and sensitive without surrendering their power and authority.

A variety of tools and populations can be used in formulating the superintendent evaluation system. Administrators, teachers, students, parents, and community members may not see the big picture, but their particular concerns should not be disregarded. The board may wish to consult various checklists that detail other superintendents' duties or other districts' administrative tasks. Checklists must be used judiciously, however. They are tools for identifying important tasks, not complete or faithful blueprints for what a particular superintendent should accomplish. They certainly should not be used as the primary evaluation tool!

Nor should a board assume that its superintendent bears the chief responsibility for all the district's administrative functions. Many tasks are the duty of other employees or the board.

This process of considering various concerns, job responsibilities, and tasks will eventually boil itself down into a manageable and unique set of concerns, goals, and objectives for the superintendent to pursue over the coming year. Every district, after all, can identify hundreds of praiseworthy administrative goals, but the superintendent can pursue only a relative handful during any given year. Nor should the district necessarily expect ambitious goals to be accomplished in one year. The board must eventually decide how much progress can reasonably be expected for each goal and how to establish objectives to guide and later assess the superintendent's implementation of the goals.

Some goals cannot be attempted until others are accomplished. It makes little sense for the district to commit itself to building a new elementary school, for example, if funds for the school have not yet been procured. Indeed, the size of the district's budget and staff should play a very large role in identifying and ordering goals. Planning to add a bilingual program is an empty exercise if the district lacks the funds to hire competent staff for it.

Once the board and superintendent have identified their goals, they should formulate objectives or performance criteria for accomplishing them. These criteria will be the superintendent's tools, the means for realizing the district's goals. Ideal performance criteria are very precise and measurable.

All aspects of the evaluation process should be discussed thoroughly by the board and superintendent. This need not be an adversarial discussion, and a system that is imposed on an unwilling superintendent has already largely defeated its purpose.

If the district has long-range plans and a superintendent's job description, those documents should be scrutinized closely to make sure they agree with the superintendent's goals. Districts that do not have plans or job descriptions for their administrators should set about writing them at this stage.

Developing the Evaluation Instrument

The final evaluation agreement or instrument should leave little to the imagination. It should specify what jobs need to be done, who is going to do them, and when they should be completed. Moreover, goals should be ranked, not simply listed. The superintendent needs to know which ones have the highest priority.

This workshop's organizers recommend that board members and superintendents begin this process as individuals rather than corporately. Such independent work will, more often than not, create considerable diversity of opinion. All members must be able to make a strong case for their choices and listen carefully to other people's. Consensus or, failing that, voting will determine which goals will be pursued over the next year.

Some districts group the superintendent's goals into different categories (Booth and Glaub, *Planned Appraisal of the Superintendent*). **Minimal** goals consist of such routine tasks as preparing board reports, and they need not be included in the superintendent's evaluation unless the superintendent has a history of not accomplishing them adequately. The second category of goals, **reasonable** goals, are more ambitious. They could include improving relations with parents or instituting inservice training for teachers, for example. Reasonable goals are typically included in the superintendent's annual evaluation. The third and final category consists of **special** goals. These cover very ambitious multiyear tasks, such as major building projects or major staff changes. Special goals must certainly be included in the superintendent's evaluation, generally for several years running. Not all the superintendent's

responsibilities, then, must be included in the evaluation.

Indeed, the performance-appraisal system does not pretend to be comprehensive. During the first year of superintendent evaluation, however, the assessment instrument might be more detailed. This can be accomplished by including a comprehensive rating form of the superintendent's duties along with the individualized and carefully constructed goals and performance criteria (objectives). Normally, however, performance appraisal is unconcerned with routine duties.

Performance appraisal typically neglects the superintendent's personality traits, as well, though it may incorporate those that are related to the year's goals or that have created problems in the district. In the latter case, the appraisal can include goals that specify change in the superintendent's personal traits, characteristics, or style.

In the performance-appraisal system, then, superintendents are evaluated on their ability to meet predetermined, largely measurable goals. Since these goals are set by particular school boards, there is no prototypical instrument in the performance-appraisal system. Indeed, one of this system's strengths is that it requires districts to formulate their own unique goals and priorities by considering their unique circumstances and concerns.

When formulating annual goals, boards should not hesitate to focus on areas where the superintendent needs to improve. If the competency of many of its teachers is questionable, the superintendent's goals should address that deficiency. It may also be appropriate to write goals that speak to the superintendent's personal weaknesses. A superintendent who has excellent public relations skills but who is a poor supervisor may benefit from an evaluation that speaks to that deficiency.

Ideal performance criteria specify measurable ways to accomplish goals. Say, for example, that one of the superintendent's goals is to improve the schools' relations with parents. Performance criteria for that goal could include requiring the superintendent to attend at least nine P.T.A. meetings, establishing informal monthly forums at each school where parents could discuss their concerns with administrators, and making six presentations before local civic groups. Another way to quantify this goal would be to stipulate that formal complaints from parents decline by 25 percent during the year.

Not all goals are easily quantified, however. Achievement scores do not truly or fully measure what students learn, nor does a decline in complaints from parents necessarily indicate

that parents are pleased with their children's education. It may simply mean that they are too apathetic or discouraged to complain! Board members must bear in mind that educational and administrative achievements are, by nature, difficult to evaluate precisely. Some school boards simply review and amend the superintendent's offerings, since formulating and writing performance criteria are rather technical tasks requiring special knowledge and skills.

The board and superintendent might also agree on general standards of behavior for the superintendent. This list of acceptable and unacceptable behaviors constitutes a moral compass of sorts. It suggests that certain ethical considerations must guide how the superintendent goes about pursuing the district's goals.

Cooperation is critical when the board members and superintendent sit down with their respective sets of evaluation ideas. To be sure, the board is the district's primary policymaking party. But the superintendent is a trained professional with personal and professional goals that should be respected, if not always followed. Hence the superintendent should have more than a little to say about which administrative goals should be pursued over the next year. Board members, furthermore, must realize that tasks that look very easy on paper can consume many hours and that unforeseen and unscheduled problems and opportunities arise daily for superintendents.

The board and superintendent should also, at this point, be sure that they understand and agree on evaluation mechanics. The evaluation's timetable should be spelled out, as should the role of board members and the superintendent. These mechanics are ordinarily specified in the district's superintendent evaluation policy.

Midyear Review

The midyear review fine tunes the evaluation instrument. This is the time for the board and superintendent to review and, if necessary, reassess goals and performance criteria. The objectives should receive particularly close scrutiny. Are they reasonable? Are they bringing the district closer to its goals?

The midyear review should not offer lazy or ineffective superintendents an opportunity to gut the evaluation instrument. Board members should not readily agree to scaling back carefully formulated goals and performance criteria. Yet no evaluation plan is flawless, and the board should not be afraid to make adjustments, even in midstream.

The midyear review is also, as its name suggests, a time to review the superintendent's performance. The board should determine how well the superintendent is meeting the agreed-upon goals, and it should communicate its findings to the superintendent. This assessment cannot and should not be as thorough as the final evaluation will be. Nonetheless, the midyear review serves to remind both the superintendent and the board of the goals and performance criteria that the superintendent is committed to pursuing. It points out problem areas and gives the superintendent time to remedy them before the evaluation period ends.

Pre-Appraisal Activities, Filling Out Instrument, Board Discussion

The superintendent and board members must prepare carefully for the pre-appraisal meeting. All of them should fill out the evaluation instrument, including substantial written comments.

The board will not, in most cases, need to do an inordinate amount of research to evaluate its superintendent. Most performance criteria include their own measurement devices. One can readily discern, for example, if elementary students' test scores in math rose by at least 5 percent or if the superintendent instituted monthly press conferences. Yet it would be more difficult to measure the effectiveness of those press conferences or, to use an even better example, the quality of a new teacher-evaluation system. Board members should carefully evaluate the superintendent's work and sometimes meet with staff and even consultants to assess their superintendent's performance.

Yet the superintendent should play a large role in superintendent evaluation—particularly if that person enjoys the board's respect and trust. The superintendent should prepare a detailed self-appraisal and present it orally and in writing to the board at the pre-appraisal meeting. This report should address how the superintendent fared in meeting the goals and performance criteria, the reasons for successes and failures, and their implications for next year's goals. This is also a good time to direct questions or concerns to the superintendent.

Following the meeting, the board should combine the superintendent's verbal and written self-evaluations and its own evaluations into a single document.

Superintendent Appraisal Meeting, Setting Goals for Next Year

The final evaluation should be a carefully constructed, written assessment from the entire board. It should be moderate in tone, avoiding both exaggerated praise and excessive criticism. It should emphasize the superintendent's performance in accomplishing the pre-established goals and performance criteria, but personal characteristics that interfered with that performance might also be noted. The evaluation should include suggestions for improvement where improvement is called for.

This evaluation may also be the occasion for deciding contract or salary questions. If so, the board should bear in mind that other factors, such as budget constraints, also affect that decision.

The evaluation should be first presented verbally, in a conversational format. This offers the superintendent an opportunity to respond to concerns and comments, to be an active part of the evaluation presentation, not just a passive subject. Even largely unfavorable evaluations should end on a positive note. The superintendent should soon provide a written response to the evaluation that becomes part of the permanent evaluation record.

A good evaluation requires action from the evaluators as well as the evaluatee. This is the time for the board to commit itself to helping the superintendent improve, particularly if there are serious problems to be addressed. The board may need to free up money or time in the district for the superintendent to pursue professional development in a particular area, or it may need to spend more of its own time assisting and advising the superintendent. Evaluation, like administration, is a cooperative endeavor.

The final evaluation should also serve at least as a springboard to identifying goals and performance criteria for the following year. Evaluation and goal-setting, after all, are continual processes. The end of one cycle constitutes the beginning of another.

Resources
Annotated Bibliography

Most of the entries in this bibliography were selected and annotated by Gary B. Kiernan, Superintendent of Schools, Lakeland School District 5460, Bonnyville, Alberta, Canada.

Alberta School Trustees Association. *Executive Officer Performance Evaluation: An Introductory Guide.* Edmonton, Alberta: Author, 1983.

This guide provides a general nonprescriptive overview of the purpose and procedures associated with evaluation of the superintendent or other senior school district officers. Both employee and employer, the guide argues, will benefit from a well-designed evaluation system. Four characteristics of a sound performance evaluation are identified:

- purpose clearly defined
- process clearly defined
- judgments based on good data
- process is ongoing

Although the booklet does not recommend a particular process, it is premised on the adoption of performance standards and a cooperative approach.

Bippus, Stanley L. "A Full, Fair, and Formal Evaluation Will Enable Your Superintendent to Excel." *The American School Board Journal* 172, 4 (April 1985): 42-43. EJ 316 696.

Bippus is particularly concerned with superintendent evaluation in smaller districts. Such districts can more easily include other administrators and teachers in the evaluation process. They may also, however, need to hire consultants to conduct portions of the evaluation and to write its final draft.

Goal setting, the author asserts, is evaluation's most critical and mismanaged step. The superintendent and board members must be very clear about what they have agreed to evaluate. A midyear, written report can ensure that the superintendent does not neglect or forget that agreement.

Bolton, Dale L. "Problems and Issues in the Evaluation of Administrative Performance." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices.* A CEDR Monograph. 69-91. Bloomington, IN: Phi Delta Kappa, 1975. **Chapter: ED 151 911 Entire Book: ED 151 907.**

Bolton examines a variety of issues related to the planning, implementation, and evaluation of a system for evaluating administrative performance. Most of the issues raised are related to making the process cooperative, efficient, and effective.

Bolton favors a formative, objectives-based approach to evaluation.

Booth, Ronald R., and Gerald R. Glaub. *Planned Appraisal of the Superintendent: A Performance-Based Program for School Boards and Superintendents. A Handbook.* Springfield, IL: Illinois Association of School Boards, 1978. ED 154 536.

This is a handbook prepared by the Illinois Association of School Boards for use by its membership. An accompanying workbook, *Ten Exercises Toward Planning a Superintendent Appraisal System,* is also available.

Both the handbook and the workbook reflect a performance appraisal approach to evaluation—an approach that focuses on how well the superintendent has achieved reasonable district goals and objectives. Appraisal reflects an ongoing process of goal setting, monitoring, and evaluation.

The handbook contains some good information and is presented in a readable fashion.

Braddom, Carolyn L. "Prescription for Improvement: Make Certain Your School Board's System of Evaluating the Superintendent Is Fair, Fast, Factual, and Frequent." *The American School Board Journal* 173, 8 (August 1986): 28-29. EJ 338 812.

The Forest Hills, Ohio, School District combines rating scales and narratives in its superintendent evaluations. The evaluation covers three broad areas: people management, goal achievement, and personal qualities. Each year the district identifies and ranks specific goals within each of the three topics.

Like most authorities, Braddom suggests that the board draw up a single evaluation rather than presenting the superintendent with one from each member.

Calzi, Frank F., and Robert W. Heller. "Make Evaluation the Key to Your Superintendent's Success." *The American School Board Journal* 176, 4 (April 1989): 33-34. EJ 387 080.

"Unless you know exactly what you're evaluating," the authors admonish, "you run the risk of turning the evaluation process into whatever each board member decides to make of it."

One way to avoid that eventuality is to include other documents and many people in the superintendent assessment process. The Edgemont Union Free School District in Scarsdale, New York, drew on some seventy members of the school and community to develop a long-range plan. Administrative staff then formulated the superintendent's priorities and objectives from that plan.

The authors urge boards to use essays rather than checklists in their final evaluation. Essays force board members to be more thoughtful and to assess performance by citing specific examples.

Cunningham, Luvern L., and Joseph T. Hentges. *The American School Superintendency, 1982: A Summary Report*. Arlington, VA: American Association of School Administrators, 1982. 81 pages. ED 225 295.

This booklet reports on a national survey of school superintendents in the United States. It provides a demographic profile and information on roles, responsibilities, terms of employment (including evaluation), and the major themes and trends affecting the superintendent.

Superintendents believe their role to be more complex than previously but are generally satisfied with their preparation and would choose to be superintendents again. There is increasing stress and tension resulting from teacher militancy and board-superintendent relations. Human relations and general management skills (including finance) are the major areas of responsibility and attention.

Evaluation is becoming a regular practice, but still tends to be more informal than formal and more general than specific. The board tends to act independently in evaluating the performance of the superintendent; the emphasis is on accountability. A more detailed report on evaluation practices identified by the survey is presented in the Sonedecker (1984) dissertation.

Dickinson, Dallas P. "Superintendent Evaluation Requires a Sophisticated, Step-By-Step Plan Like the One You'll Find Right Here." *The American School Board Journal* 167, 6 (June 1980): 34, 37-38. EJ 225 506.

This article argues for a structured approach to evaluation that follows a set timetable. Although not explicitly a management-by-objectives approach, the recommended process requires establishment of criteria and involves a cyclical process.

Dittloff, Richard. "Evaluate the Superintendent." *The American School Board Journal* 169, 11 (November 1982): 41. EJ 271 177.

Dittloff describes how the Ashwaubenon, Wisconsin, School District utilizes both its superintendent's job description and annual goals to evaluate its superintendent.

Each year the board and superintendent agree on three to five specific goals. They then examine the superintendent's job description to determine which of three broad responsibilities should, in light of the year's goals, receive the most attention: people management, task management, or personal competence.

Dittloff cautions board members to strive for objectivity and assessment of performance rather than personality to avoid politicizing the evaluation.

Educational Research Service. *Evaluating Administrative Performance.* ERS Report. Arlington, VA: Author, 1985. 144 pages. ED 257 181.

This study is not confined to evaluation of the superintendent, but rather deals with all educational administrators. According to the study, performance appraisal of administrators has increased significantly during the 1970s and 1980s.

Information is provided on factors that impinge upon the performance evaluation of administrators, and a variety of approaches are presented. A number of sample instruments are provided.

Educational Research Service. *Evaluating Superintendents and School Boards.* ERS Report. Arlington, VA: Author, 1990. 168 pages.

This booklet reports on a survey of a nationwide random sample of 2,576 school district superintendents.

About 87 percent of the superintendents stated they are evaluated at least annually by their school boards. Many school boards use more than one technique to evaluate their superintendents. Three techniques predominated: performance checklists/rating scales (used by 80 percent), discussions among board members (71 percent), and written comments or essays (61 percent).

The book provides some general guidelines for evaluation and recommends that procedures be developed jointly by board and superintendent. Sample instruments are provided.

Georgia School Boards Association. *Superintendent Evaluation: Participants Manual.* Author, 1986.

This document was developed for use by Georgia school boards (the Georgia Quality Basic Education Act requires that every superintendent be evaluated annually by a trained evaluator using the state-mandated instrument).

Superintendent performance is evaluated in seven major task areas: serves as CEO, acts as educational leader, oversees staff personnel management, oversees facilities, oversees financial management, directs community relations activities, and oversees pupil personnel services. Performance is rated on a four-point scale of expectations: well below, below, meets, exceeds. The Georgia system represents a highly structured approach.

Gephardt, William J. "Designing a Plan for Evaluating Administrative Performance." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices.* 219-35. Bloomington, IN: Phi Delta Kappa, 1975. Chapter: ED 151 917. Entire Book: ED 151 911.

The author outlines several principles that underlie the design of an evalu-

ation plan: The design of an administrative performance evaluation system is seen as a situation specific task and not a *trivial* one. The design work itself is important. Second, the system should not be conceived of as a static entity. It will be constantly evolving. Third, the system's purpose or function is paramount. Fourth, the people directly involved with the system should be involved continually in its development and evolution. And finally, the process used for designing the system will materially affect the nature and quality of the system.

Ingle, Robert B. "Administrative Evaluation: A Caveat." In William J. Gephardt, Robert B. Ingle, and W. James Potter (Eds.), *The Evaluation of Administrative Performance: Parameters, Problems and Practices*. 239-46. Bloomington, IN: Phi Delta Kappa, 1975. Chapter: ED 151 918. Entire Book: ED 151 911.

This chapter addresses four important questions with respect to administrator evaluation:

1. How can the evaluation system be made nonthreatening?
2. Should the evaluation of administrators be for individual improvement or for decisions regarding employment status?
3. Should administrators be evaluated on process or product?
4. Should the techniques used to evaluate administrators be objective or subjective?

Levinson, Harry. "Appraisal of *What* Performance?" *Harvard Business Review* 54, 4 (1976): 30-40.

Levinson argues that the appraisal of individual performance must be viewed within the environmental context.

He calls for changes in performance appraisal procedures that will incorporate both situational and behavioral expectations into job descriptions, maintenance of a record of critical incidents, appraisal, and separation of the formative and summative aspects of evaluation.

Lindgren, Janet. *Evaluating Your Superintendent*. Sacramento, CA: California School Boards Association, 1985. 58 pages. ED 296 435.

This small book prepared for the California School Boards Association addresses the topic through a series of questions: Why Evaluate? What Should Be Evaluated? When Is Evaluation Undertaken? What Information Is Needed? How Should Evaluation Take Place? and What Happens with Results?

Lindgren favors a performance appraisal approach to evaluation and provides examples of policies, job descriptions, and a variety of evaluation instruments.

McGregor, Douglas. "An Uneasy Look at Performance Ap-

praisal." *Harvard Business Review* 35 (May/June 1957): 89-94.

This is a classic article on the evaluation of employee performance. McGregor is among the first to argue that appraisal of employees must be tied to measurable behaviors and outcomes, not to personal characteristics or traits. He argues for a management-by-objectives approach to performance appraisal.

Meidan, Arthur. *The Appraisal of Managerial Performance.* New York: AMACOM, 1981.

Meidan reviews the major approaches to appraising managerial performance in the private sector.

He argues that performance must be based on objective measures of predetermined behaviors or outcomes. Management by objectives has not gained broad acceptance, he suggests, because of the difficulty in identifying measurable behavioral objectives. He argues that the "how" of performance must also be measured.

New Jersey School Boards Association. *Evaluating the Chief School Administrator: Fulfilling the Board's Governance Responsibility.* Trenton, NJ: Author, May 1987. 15 pages. ED 288 240.

This book proposes a management-by-objectives approach to superintendent evaluation, starting with board self-evaluation.

The process incorporates written objectives, a progress schedule, action planning for each objective, year-long monitoring of progress, and a culminating summative evaluation conference. Examples of forms are provided.

Nystrand, Raphael. *Principles and Procedures for Evaluating the Superintendent of Schools.* Frankfort, KY: Kentucky School Boards Association, 1985.

Kentucky school boards are required by the Department of Education to evaluate superintendents at least every two years.

This document provides a general overview of the evaluation process. It lists eight purposes for evaluation, three preconditions, eight principles, and nine steps to establish a process. The approach is structured, criteria-based, and cooperatively developed.

Redfern, George. *Evaluating the Superintendent.* Arlington, VA: American Association of School Administrators, 1980. 79 pages. ED 204 842.

A brief historical review of evaluation practices is followed by an analysis of the options available. A number of sample instruments representing the various types of evaluations are provided. Redfern indicates that "checklists" are the most common method used.

He recommends that evaluation be formal, planned, based upon a written policy and job description, and focus on objectives and outcomes that are measurable.

Roelle, Robert J., and Robert L. Monks. "A Six-Point Plan for Evaluating Your Superintendent." *The American School Board Journal* 165, 9 (September 1978): 36-37. EJ 186 690.

The authors outline a mutistage process for developing an effective evaluation of the superintendent: (1) agree that formal evaluation is needed, (2) determine the purpose of evaluation, (3) choose an evaluation system, (4) select information sources, and (5) develop a process. A personalized approach is needed, the authors say.

Snavely, Ronald J. "Performance Appraisal of Public School Superintendents: A Survey of Current Evaluation Practices in the United States." *Dissertation Abstracts International*, 1984, 45, 2723A.

Using survey methodology, the author examined formal superintendent evaluation procedures across the United States. He found that school district size, location, type of community (rural/urban), educational level of superintendent, and years superintendent occupied position all affected the type of evaluation procedure used (that is, the effects of these variables were statistically significant).

Sokol, Michael, and Robert Oresick. "Managerial Performance Appraisal." In Ronald A. Berk (Ed.), *Performance Assessment*. 376-92. Baltimore, MA: Johns Hopkins University Press, 1986.

The two major problems of performance appraisal, the authors say, are identification of what is to be measured and the criteria by which it will be measured.

They suggest that performance appraisal systems can be grouped into three categories: comparative (criteria are other people), outcome-oriented (criteria are products), and absolute (criteria are behaviors). They recommend a behavioral approach that focuses on job competencies.

Sonedecker, J.W. "Evaluation of the American Public School Superintendent." (Doctoral dissertation, Ohio State University, 1984). *Dissertation Abstracts International*, 45, 1065A.

This study used data collected as part of the 1982 American Association of School Administrators national survey of school superintendents.

The author found: increasing use of formal procedures, especially among younger, newer, career-bound, PhD., and urban superintendents; a meeting between the board and superintendent to be the most common feature of evaluations; a focus on management as opposed to instructional leadership;

evaluation carried out primarily for accountability purposes; and superintendent appraisal still more informal that formal in process.

He recommends that evaluation based on formal job description be mandated by state law.

Wyles, Douglas. "How to Evaluate Your Superintendent." Paper presented to the annual convention of the National School Boards Association, Las Vegas, NV, April 1986.

This paper presents the PRAISE (Performance Review, Analysis and Improvement System for Educators) program developed at Brock University. This approach uses data collected from a variety of sources—supervisors, peers, subordinates, and self—to provide a confidential report on performance. A formative approach to evaluating the superintendent, PRAISE will not serve summative purposes.

Zappula, Elio (Ed.). *Evaluating Administrative Performance: Current Trends and Techniques.* Belmont, CA: Star Publishing, 1983.

A collection of articles by a wide variety of individuals, this book provides a good general overview of administrator evaluation. Most of the articles, however, focus on the evaluation of the school principal, not the superintendent.

One useful question raised by the book is the extent to which evaluation of the superintendent should be different from the evaluation of other administrators.